

**ENVIRONMENTAL GOVERNANCE - Fall 2019**  
**SYA 7933 (Sec. 1F48) / ANG 6930 (Sec. 4G20) / LAS 6938 (Sec. 3B26)**  
**Friday 9:35—12:35**  
**Grinter Hall 376**

**Professor Christine Overdevest**  
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**Office Hours: Tuesday 10:30-1:30 or by appt**

**Professor Catherine Tucker**  
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**Office Hours: Thursday 1:00-3:00**  
**or by appt**

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 good environmental or sustainable outcomes.

Environmental governance researchers investigate particular arrangements and/or address broader academic 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 approaches 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 key 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

## Course Requirements:

### **Grading**

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|--|-----|
| 1. Weekly Assignments: Memos, Session Leadership, Discussion, Activities | 50% |
| 2. Seminar Paper. Due Monday, December 9                                 | 35% |
| 3. Student Presentation of Seminar Paper                                 | 15% |

### Weekly Assignments

Each week we will have activities to engage with the readings and topics – a memo, session leadership or other types of engagement. Memos are due by 10 pm on the *Wednesday* before class and should be submitted to Canvas. The memos are meant to help you reflect on basic arguments of each reading and define key concepts in enough detail so that you could use them as study guides for prelims and/or for material to support your seminar paper. Read your classmates memos’ before class, 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 and/or creative activity. Each student will lead a session at least once during the semester (during that week you will not be assigned another activity). For each week’s activity, students will be evaluated based on quality of work, active participation, thoughtfulness, and insightful contributions.

### Seminar Paper

The paper should explore a specific challenge for environmental governance. 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. You may analyze its emergence, effectiveness, relationship to public authority, or other issues raised in class. 15-20 pps.

a. If you write an empirical paper, consider submitting to *Society and Natural Resources* as an “Practice Based Knowledge” (PBK) article (5000 word limit): According to the journal, “the rationale for focusing on PBK is due to its key role in the emergence of hybrid governance institutions across state, market, and civil society, understanding the complexity of dynamic socioecological 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.”

2. Write a case study analysis that develops a detailed assessment of a specific environmental governance challenge and possible options for policy and/or practice, which could include 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*: “Policy Reviews examine current or proposed policies associated with natural resource management. These articles can raise questions of policy, propose alternate action, or critique current or proposed policy.” (5,000 word limit).

3. You may also apply concepts and readings in the course to your own 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 to collaborate on a paper for publication.

*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 sign-posts 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?

**Papers due – Monday, December 9, 2019.** (Submit to Canvas, double spaced)

### Paper Presentations

On November 22 or December 6, students in groups or individually will present their seminar papers. Drafts of their papers must be circulated no later than 6 pm on Sunday, November 17 or Sunday, December 1, respectively. Students will take 15 minutes to present, followed by discussion. Each class participant should aim to improve the papers presented by offering constructive critiques. NOTE: December 6 is a Reading Day. If members of the class are unable to attend on that Reading Day, we will jointly find an alternative time earlier that week in which all students can attend. If no time can be found that works for all during the final week of class, then we will need to meet during Finals Week.

### Intellectual Stance

The class process aims to support graduate student's 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 can be explored openly, as 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 – Aug. 23 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." pp. 1-22 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 – Aug 30: Degrowth and Designs for a New Society-Environment Relation***

*Session Leadership: \_\_\_\_\_*

Paulson, S. 2017. Degrowth: Culture, Power, and Change. *Journal of Political Ecology* 24:425-448.

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

D'Alissa, G., G. Kallis, and F. Demaria. 2014. Epilogue: Austerity to Dépense. In D'Alisa, Kallis, and Demaria, eds. *Degrowth: A vocabulary for a new era*. Pp 215-220. New York: Routledge.

**Class Engagement:** Write 2-3 questions for discussion prompted by the readings, which may include those from the Preamble/Introduction. Questions may be aimed at clarifying a point of uncertainty, exploring a puzzle or concept, or addressing a controversial dimension of the argument(s). *Post your question(s) to Canvas/Discussions by 11 pm on Wednesday, Aug. 28. Review and reflect on your classmates' questions to prepare for discussion on Friday, August 30.*

***Week Three – Sep 6: 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.

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

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

*Read at least one of the following empirical pieces:*

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

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. URL : <http://journals.openedition.org/ideas/3439> ; DOI : 10.4000/ideas.3439

Homes, 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)

*Optional Further Reading:*

Gibson-Graham. J.K. 2014. Rethinking the Economy with Thick Description and Weak

Theory. *Current Anthropology* 55(9): S147-S153

**Memo:** Write a memo where you define the “diverse economies” research programme and the performativity perspective, including your analysis of their key analytical strengths and weaknesses. *Read your classmates’ memos and come to class prepared for discussion.*

**Week Four – Sept 13: Performance and Public Measures: A Governance Mechanism? (Tucker Away)**

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.*

Overdevest, Christine. 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 articles seeks to demonstrate the importance of public measures in recreating social worlds.*

Fung, Archon and Dara 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.*

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

**Memo:** Write a memo where you identify and describe/develop the main thesis of this week’s readings, and, integrating each reading, offer your analysis of the key strengths and limits of the argument. *Read your classmates’ memos and come to class prepared for discussion.*

**Week Five –Sept 20. Post WWII Approaches to Environmental Governance: Administrative Rationalism and Economic Rationalism**

Session Leadership: \_\_\_\_\_

Jodi L. Short, 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 critiques 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 legitimize the growth of self-regulation in the 1980s and 1990s.*

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

Supplemental Readings:

Joel Mintz. 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) recently ran a series on regulatory capture. Check out various articles here: <http://www.regblog.org/2016/06/13/rooting-out-regulatory-capture/>

**Memo, option 1:** What is the appropriate role of the state in environmental governance? In your memo, describe which, if any, of the critiques you find compelling and agree with and which you would argue against. Fully develop and explain your reasoning.

**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. *Read your classmates’ memos and come to class prepared for discussion.*

***Week Six –Sep 27: Civil-Society Approaches: Commons Theory, Common-Pool Resources and Common Property***

*Session Leadership:* \_\_\_\_\_

*This discussion will introduce commons theory, and circumstances in which common-pool resources may be most effectively managed 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.*

*Theoretical Readings:*

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.*

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*. Eds. C. Gibson, M. McKean and E. Ostrom, eds. Pp. 27-55. Cambridge, MA: MIT Press.

*McKean's chapter provides a clear explanation for the difference between common-pool goods and property rights, and why common property (i.e., community-based resource management) 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:

*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, D. 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.

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 enduring insight to 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.*

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

*Supplemental Readings:*

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.*

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.*

**Memo option 1:** Read the theoretical readings and one of the case studies. Critically evaluate the contributions of this theoretical focus on community-based environmental governance and commons dilemmas. Contrast this "ground level" focus with one or more of the other theoretical approaches discussed thus far. What does it offer to discussions of environmental governance that complements or transcends other approaches?

**Memo option 2:** Read the Ostrom chapters and three of the case studies. Analyze how the case studies incorporate Ostrom's principles and/or types of rules, and feel free to address other variables relevant for community-based environmental governance. Consider what the case studies indicate about the benefits and challenges confronting community-based resource management in the modern global system. Briefly consider whether any other of the theoretical approaches covered thus far add valuable insights. *Read your classmates' memos and come to class prepared for discussion.*

***Week Seven – Oct 4 Homecoming: No Class***

*Use this week to develop your research paper proposal and track down references.*

**Week Eight – Oct 11: Systems Approaches, Institutional Analysis of Environmental Governance, and Governance Principles of Natural Resource Management**

Session Leadership: \_\_\_\_\_

*The SES Framework has been adopted by a number of researchers as a tool for systematically assessing the strengths, weaknesses, and functionality /sustainability of SESs, especially at local and regional scales. Current research is adapting it to meet challenges of analyzing governance adaptation in the face of dynamic change processes that link and cross local to global scales.*

Ostrom, E. 2009. A General Framework for Analyzing Sustainability of Social-Ecological Systems. *Science* 325: 419-522.

*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. 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.*

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>

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>

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.

Supplemental Readings:

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.

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 SES Framework that discusses its apparent contributions and challenges. Consider how institutional approaches complement and contrast with other theories on the vanguard, such as degrowth and

performativity. Include at least one question for discussion (underline your discussion question). Use the McGinnis (2011) (from last week) as a reference to check the correct definitions for central concepts used in applying the frameworks. *Read your classmates' memos and come to class prepared for discussion.*

**Week Nine – Oct 18: Global Commodity Chain Governance**

Session Leadership: \_\_\_\_\_

Gereffi, Gary. 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 growing 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.

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

Optional Further Reading

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

Bartley, Tim and Curtis Child. 2014. "Shaming the Corporation: The Social Production of Targets and the Anti-Sweatshop Movement." *American Sociological Review* 79(4):653-679

**Memo:** Write a memo discussing the key critical strengths and weaknesses of global supply chains as sites for promoting enduring social change.

**Week Ten-- Oct 25: Governing through Chains: A Focus on the Civil Society Regulation through Multi-stakeholder Standard Setting and Environmental Certification Movement**

Session Leadership: \_\_\_\_\_

Meidinger, Errol. 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.*

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.*

Graeme Auld, Stefan Renckens, and Benjamin Cashore, 2015 “Transnational Private Governance between the Logics of Empowerment and Control” *Regulation and Governance* 9(2): 108-124

Levy, David, Juliane Reinecke and Stephan Manning. 2016. “The Political Dynamics of Sustainable Coffee: Contested Value Regimes and the Transformation of Sustainability.” *Journal of Management Studies*. 53:3 (364-401)

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

***Week Eleven – Nov 1: Exploring Complexities, Contradictions, and Potentials of Multilevel and Multi-Partner Governance of Natural Resources***

*Session Leadership:* \_\_\_\_\_

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

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**.

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.

*This study examines the impacts of forest tenure reform, particularly approaches of devolution and decentralization of forest rights, to further community rights to manage forest resources.*

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.

Supplemental Readings:

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

Behera, Bhagirath. 2009. "Explaining the performance of state-community joint forest management in India." *Ecological Economics* 69(1):177-85.

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.

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.

Dennis, E. 2017. Do Changing Perceptions of Water Problems Influence Water Users' Adaptive Choices? Evidence from San Diego. Indiana University, Bloomington: Unpublished Doctoral Thesis.

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.

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.

**Activity:** Develop three questions for discussion that draw on or are inspired by the required and at least 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. *Read your classmates' questions and come to class prepared for discussion.*

***Week Twelve: Nov 8: Dynamic Multiscale Approaches, 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.*

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**.

**Class Activity:** In light of today's 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 debate or discussion. *Read your classmates' paragraphs and questions; come to class prepared for discussion.*

### ***Week Thirteen – Nov 15 Synthesis and Moving Forward ??***

*This class gives us the chance to consider ideas and issues that emerge during the course, which merit discussion. Reading suggestions are welcome to add to the discussion.*

Boas, Ingrid, Frank Biermann, and Norichika Kanie. 2016. "Cross-sectoral strategies in global sustainability governance: towards a nexus approach." *International Environmental Agreements* 16:449-64.

Keohane, Robert O. and David G. Victor. 2010. The Regime Complex for Climate Change. The Harvard Project on International Climate Agreements Discussion Paper 10-33. January 2010.

*An article that develops the concept of a "regime complex" and the conditions under which they may be a desired governance mechanism.*

Epstein, G., I. Pérez, M. Schoon, and C. Meek 2014 Governing the Invisible Commons: Ozone Regulation and the Montreal Protocol. *International Journal of the Commons*, 8(2):337-360. URL:<http://www.thecommonsjournal.org>.

**Activity:** To Be Decided

***Week Fourteen - Nov 22: Student Presentations***

***Week Fifteen – Nov 29: Thanksgiving Break***

***Week Sixteen – Dec 6 (Special Reading Day Meeting or alternate date to be determined):  
Student Presentations***

<b>Seminar Paper Due Monday, December 9</b>
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**University Policies and Services:**

*Academic Honesty:* 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.”

*Accommodation for students with disabilities:* Students requesting classroom accommodation must first register with the Dean of Students Office. The Dean of Students Office will provide documentation to the student who must then provide this documentation to the Instructor when requesting accommodation.

*UF Counseling Services:* Resources are available on-campus for students having personal problems or lacking a clear career and academic goals which interfere with their academic performance. These resources include:

1. University Counseling Center, 301 Peabody Hall, 392-1575, personal and career counseling;
2. Student Mental Health, Student Health Care Center, 392-1171, personal counseling;
3. Sexual Assault Recovery Services (SARS), Student Health Care Center, 392-1161, sexual counseling;
4. Career Resource Center, Reitz Union, 392-1601, career development assistance and counseling.