

Contents

<i>Acknowledgments</i>	xi
1. Introduction	1
1.1 The high importance of natural resources	1
1.1.1 Natural resources in danger of depletion	1
1.1.2 Social-ecological systems	4
1.2 Research question and goals	6
1.2.1 Goals and benefits	6
1.2.2 Gaps and obstacles	8
1.2.3 Hypotheses	14
2. State of Research	16
2.1 What are fundamental biological mechanisms of cooperation?	17
2.1.1 The tragedy of the commons exists for many different species	23
2.1.2 Some possibilities for preventing resource overuse	25
2.2 What drives cooperation in laboratory experiments?	26
2.2.1 Bias and intercultural comparisons	33
2.2.2 Field experiments	34
2.2.3 Behavioral experiments: Conclusion	36
2.3 Common-pool resources	40
2.3.1 Characterization of common-pool resource problems	40
2.3.2 The common-pool problem structure—exemplified	45
2.4 A primer on social-ecological systems	47
2.4.1 Three very different ways to manage common-pool resources	47
2.4.2 Institutional analysis of social-ecological systems by Elinor Ostrom	49
2.4.2.1 <i>Some conceptual clarifications</i>	50
2.4.2.2 <i>A short historical account of different frameworks analyzing social-ecological systems</i>	52
2.4.3 Other related research approaches	58
2.4.3.1 <i>Resilience of social-ecological systems</i>	61
2.4.3.2 <i>(Adaptive) co-management of social-ecological systems</i>	62
2.5 Potential success factors for sustainable management of social-ecological systems	65
2.5.1 Design principles	66
2.5.2 Overview about success factor syntheses	68
2.5.2.1 <i>Synthesis 1 (synthesis of success factors)</i>	69
2.5.2.2 <i>Synthesis 2 (fisheries in Asia)</i>	70

2.5.2.3	<i>Synthesis 3 (meta-analysis forestry worldwide)</i>	72
2.5.2.4	<i>Synthesis 4 (small-scale forest management in Germany)</i>	74
2.5.2.5	<i>Synthesis 5 (meta-analysis of local communities worldwide)</i>	74
2.5.2.6	<i>Synthesis 6 (irrigation systems in India)</i>	78
2.5.2.7	<i>Synthesis 7 (meta-analysis fisheries, worldwide)</i>	79
2.5.2.8	<i>Synthesis 8 (fisheries in Kenya, Tanzania, Madagascar, Indonesia, and Papua-New Guinea)</i>	80
2.5.2.9	<i>Synthesis 9 (nature conservation projects, worldwide)</i>	81
2.5.2.10	<i>Synthesis 10 (synthesis of success factors, social-ecological systems framework)</i>	82
2.5.3	Summary of syntheses for social-ecological systems	84
3.	Data	86
3.1	Common-pool resource database	87
3.2	Nepal irrigation institution study database	87
3.3	International forestry resources and institutions database	88
3.4	Comparability of databases	89
3.5	Data preparation	90
3.5.1	Check of raw data	91
3.5.1.1	<i>Check for data correctness—step 1: Data collection</i>	91
3.5.1.2	<i>Verification of the correctness of the data—step 2: Data entry</i>	92
3.5.1.3	<i>Verification of the correctness of the data—step 3: Databases</i>	92
3.5.2	Selection of data	93
3.5.3	Recoding of variables	94
3.5.3.1	<i>Recoding of variables—step 1: Aggregation</i>	95
3.5.3.2	<i>Recoding of variables—step 2: Text variables</i>	98
3.5.3.3	<i>Recoding of variables—step 3: Multiple use of variables</i>	99
3.5.3.4	<i>Recoding of variables—step 4: Imputation</i>	99
3.5.4	Weighting of variables and indicators	100
3.5.4.1	<i>Weighting of the variables and indicators 2: Indicator weighting</i>	101
3.5.4.2	<i>Weighting of variables and indicators—step 2: Weighting of indicators</i>	101
3.5.4.3	<i>Weighting of variables and indicators—step 3: Selection of the Top 3 variables</i>	102
3.5.5	Split of data sets in training and test sets	103
3.5.6	Preparation of the analysis results	105
3.5.7	Summary of methodology and data	107
4.	Methods	109
4.1	Introducing the three statistical methods used	109
4.1.1	Multivariate linear regressions	109

4.1.2 Random forests	110
4.1.3 Artificial neural networks	112
4.1.3.1 <i>Construction of artificial neural networks</i>	114
4.1.3.2 <i>Learning and generalization</i>	117
4.1.3.3 <i>Design</i>	118
4.1.3.4 <i>Extraction of the relevance of factors</i>	123
4.2 Operationalizing the success factors via a new indicator system	123
4.2.1 Why do we need a new indicator system?	123
4.2.2 How to develop and validate an indicator system	124
4.2.3 Overview about the indicators used	130
4.2.4 Assigning variables to indicators	136
4.2.5 A difficult task—operationalizing ecological success (part 1—theory)	140
4.2.6 A difficult task—operationalizing ecological success (part 2—implementation)	142
5. Results and Discussion	146
5.1 Synthesis of success factors	146
5.1.1 Justifying the choice of success factors	146
5.1.2 A comprehensive synthesis (which is too unwieldy)	148
5.1.3 A minimal synthesis (which is about right)	148
5.1.4 Which success factors are excluded?	152
5.1.5 Why these success factors should be highly relevant	152
5.1.5.1 <i>Resource system</i>	154
5.1.5.2 <i>Resource units</i>	157
5.1.5.3 <i>Actors</i>	159
5.1.5.4 <i>Governance systems</i>	164
5.1.5.5 <i>External influences</i>	174
5.2 Results for the common-pool resource data	177
5.2.1 Descriptive statistics	177
5.2.2 Correlations	178
5.2.3 Multivariate linear regressions	180
5.2.4 Random forests	184
5.2.5 Neural networks	185
5.2.6 Discussion	190
5.3 Results for the Nepal irrigation institution study data	191
5.3.1 Descriptive statistics	191
5.3.2 Correlations	192
5.3.3 Multivariate linear regressions	193
5.3.4 Random forests	197
5.3.5 Neural networks	199
5.3.6 Discussion	200
5.4 Results for the international forestry resources and institutions data	203
5.4.1 Descriptive statistics	203
5.4.2 Correlations	204

5.4.3 Multivariate linear regressions	205
5.4.4 Random forests	209
5.4.5 Neural networks	210
5.4.6 Discussion	212
5.5 Results for a combined full model	215
5.5.1 Descriptive statistics	215
5.5.2 Correlations	216
5.5.3 Multivariate linear regressions	217
5.5.4 Random forests	220
5.5.5 Neural networks	222
5.5.6 Discussion	225
5.6 Robustness and sensitivity analyses	226
5.6.1 Common-pool resource data	229
5.6.1.1 <i>Multivariate linear regressions</i>	229
5.6.1.2 <i>Random forests</i>	230
5.6.1.3 <i>Neural networks</i>	230
5.6.2 Nepal irrigation institution study data	231
5.6.2.1 <i>Multivariate linear regressions</i>	231
5.6.2.2 <i>Random forests</i>	232
5.6.2.3 <i>Neural networks</i>	233
5.6.3 International forestry resources and institutions data	233
5.6.3.1 <i>Multivariate linear regressions</i>	233
5.6.3.2 <i>Random forests</i>	235
5.6.3.3 <i>Neural networks</i>	235
6. Discussion and Conclusion	237
6.1 Final assessment	237
6.2 New findings	242
6.3 Summary	246
6.4 Outlook	250
7. Appendix	253
<i>References</i>	293