

# CARLETON UNIVERSITY

## SCHOOL OF PUBLIC POLICY AND ADMINISTRATION

### PADM 5421: GLOBALIZING PUBLIC MANAGEMENT:

### MEASURING AND MONITORING GOVERNANCE

#### SYLLABUS

#### FALL TERM 2013

<b>Instructor:</b>	Prof. Leslie A. Pal	<b>Fax:</b>	(613) 520-2551
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<b>Class:</b>	Wednesday, 2:30 – 5:30	<b>Office Hours:</b>	Wednesdays 1:00 – 2:00 or by appointment
<b>Starts:</b>	September 11, 2013		
<b>Ends:</b>	December 4, 2013		

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#### COURSE DESCRIPTION

The contemporary emphasis on continuous improvement, reform and the measurement of government performance now seems unremarkable and even commonplace, but has only emerged in the last 30 years. Previously, governments of course undertook reforms of their public sectors and their policy activities, but did so in piecemeal fashion and in fairly traditional ways (e.g., human resource improvements, training, or modest re-organizations). The change came as a result of several factors. One was the realization among development organizations such as the UNDP and the World Bank that economic performance often depended on an effective and efficient public sector. Another was the series of crises in the mid-1970s that stimulated an international conversation among international agencies, academic institutions, and others that public sector reform should be a “policy field” in its own right. The collapse of communism required massive reforms in former Soviet satellite states in central and Eastern Europe. More recently, the global financial crisis has highlighted the fact once again that economic performance hinges on an effective public sector.

This course examines the “measuring and monitoring” of public sector performance from several perspectives: the emphasis on measuring performance and the different types of measures and their strengths and weaknesses; how international agencies are at the centre of global efforts to stimulate reform; the dynamics of “policy transfer” and “policy diffusion”; the spread of so-called “best practices”; and how governments respond to these efforts.

The course is organized around three themes:

Theme I	Measurement metrics and techniques	Weeks 1-4
Theme II	International agencies and policy diffusion	Weeks 5-7
Theme III	Government responses to reform pressures	Weeks 8-12

## LEARNING OBJECTIVES

At the end of this course, you will be able to:

- Describe, explain and provide a critical assessment of the wide range and variety of governance measures that currently exist, from the World Bank's *Worldwide Governance Indicators* to the OECD's *Government at a Glance*, as well as the underlying techniques, data sources, and approaches the different measures use.
- Analyze policy networks, in this case international policy networks, around public sector reform. Network analysis is now a key tool in the social scientific understanding of policy dynamics.
- Critically assess how governments strategically use governance measures and metrics to their own advantage on the global stage.

## TEACHING METHOD

I will be adopting a variation of the “flipped classroom” method (for more information, see <http://www.techsmith.com/flipped-classroom.html> ; <http://www.cirtl.net/node/7788> ). Typically, this will involve the usual readings outside of class, accompanied by a detailed Study Guide with questions and suggestions for additional resources. The Study Guide will be circulated through cuLearn one week in advance of the class. Classes will begin with a short lecture on my part about the readings and themes, followed by plenary discussion of key themes in the readings. I will randomly ask students questions about the readings, so please be prepared. The remaining class time will be devoted to group work on selected problems (outlined in the Study Guide), followed by informal group presentations on findings. Depending on availability, I may invite one or two guest speakers through the term.

## cuLEARN

cuLearn is the university's on-line course system. When you go to the Carleton University main page, you see a button for cuLearn on the top right. You login with your Carleton ID and password, and all your courses (including this one) will be listed.

Please be sure that you are familiar with cuLearn, since I will be using it extensively for the course. It is where you will upload assignments and papers, find your grades, corrected assignments, e-mails from me (though any e-mails sent through cuLearn go to your general Carleton e-mail account as well), a bulletin board, news, and additional resources as I/we post them through the term. There is a help facility in cuLearn once you log on (bottom left of the screen), as well as support through CCS (<http://carleton.ca/ccs/all-services/websites/culearn/> ).

## STUDENT RESPONSIBILITIES

Students are expected to:

- Read the materials assigned each week in light of the Study Guide. I encourage students to do this in small informal groups of their own choosing.
- Come to class prepared to answer as well as pose questions. Remember that I will be making “cold calls,” i.e., asking questions randomly.
- Engage in class discussions and group work.
- Submit assigned work on time and by deadline.

Students are also expected to be thoroughly familiar the University’s standards on academic integrity, as set out in sections 18.3, 18.4, and 18.5 of the General Regulations of the Graduate Calendar (see <http://calendar.carleton.ca/grad/gradregulations/administrationoftheregulations/#18> ), and in greater detail in the Carleton University Academic Integrity Policy (see <http://www1.carleton.ca/senate/ccms/wp-content/ccms-files/Academic-Integrity-Policy.pdf> ). Of particular note in both documents are the sections on plagiarism, the most serious academic offence. Instructors are required to report all suspected cases of this violation to the Faculty Dean.

## REQUIREMENTS

Short Paper I	15%	Monday, October 4, 12:00 pm
Short Paper II	15%	Friday, October 25, 6:00 pm
Seminar Presentation	25%	October 27/December 4 in class
Research Paper Proposal	5%	Monday, November 11, 12:00 pm
Research Paper	40%	Thursday, December 12, 12:00 pm

### *Short Papers*

Each paper is between 2,000 (minimum) and 2,250 (maximum) words in length, exclusive of bibliography or any appendices. The first paper critically analyzes key themes and issues from readings and discussions that arose in weeks 1-4 (Theme I). The second paper does the same for weeks 5-7 (Theme II). The papers should not be mere summaries of the readings, but an analytical as well as critical discussion. Imagine that your reader is an intelligent fellow-student in the program who missed those weeks, and who needs to be able to speak and write intelligently and thoughtfully about the material and the class discussions. I’ve emphasized the class discussions to alert you to be sure to take notes of the key arguments and questions that came up in those discussions.

Papers should be submitted via cuLearn. Your paper must be in Word format (not PDF), with a file name as follows: lastname\_Short Paper 1 (or 2)\_PADM5421

Paper I: Due Monday, October 4, 2013, 12:00 pm EST

Paper II: Due Friday, October 25, 2013, 6:00 pm EST

Late submissions will not be accepted, except in cases of significant personal affliction or documented medical illness. Unauthorized late submissions will receive a “0”.

### *Seminar Presentation*

By week 4 of the course (October 2), I will have divided the class into appropriately sized groups. Each group will be charged with making a 45 minute presentation on a government “best practice” as outlined in the Atlas of Public Management (<http://portal.publicpolicy.utoronto.ca/en/Pages/index.aspx>). This is part of my current SSHRC-funded research project. The presentations will take place in one of the two last classes in the term (either October 27 or December 4). I will also assign a discussant for each presentation. More detail on the presentations will be provided separately.

### *Research Paper Proposal*

This is a 500 – 750 word paper, excluding bibliography, that outlines the topic of research paper, key themes you expect to explore, methodological considerations if any, and a preliminary bibliography. Submissions that meet these basic requirements will receive the full 5% toward the final grade.

Papers should be submitted via cuLearn. Your paper must be in Word format (not PDF), with a file name as follows: lastname\_Proposal\_PADM5421

Research Paper Proposal      Due: Monday, November 11, 12:00 pm

Late submissions will not be accepted, except in cases of significant personal affliction or documented medical illness.

### *Research Paper*

The research paper is between 3,750 (minimum) and 4,000 (maximum) words in length, exclusive of bibliography or any appendices. You are to select a country (not Canada or the United States) and assess its governance system in terms of governance indicators and any governance/public management studies by international agencies that you might find (e.g., OECD public governance review). As well, the paper should provide background on the country’s governance challenges (e.g., Why so much corruption? Why such a poor business climate?), possibly with brief case studies or media reports.

Papers should be submitted via cuLearn. Your paper must be in Word format (not PDF), with a file name as follows: lastname\_Research Paper\_PADM5421

Research Paper      Due: Thursday, December 12, 12:00 pm

Late submissions will not be accepted, except in cases of significant personal affliction or documented medical illness.

## **GRADING**

*The following explanation of grades is the policy of the School of Public Policy and Administration.*

In graduate school, expectations about analytical abilities and performance are higher than in undergraduate work, and what is an acceptable grade is also different. Whereas a C+ is a passing grade in undergraduate studies, it is not in graduate school. We have expanded upon the grading system outlined in the Graduate Calendar in order to give you a fuller description of standards. This explanation is intended to provide clarification of the Graduate Calendar, and does not override it.

Carleton University uses a 12-point grading scale from A+ (12) to D- (1). Your overall Grade Point Average (GPA) will be calculated on the basis of this 12 point scale and the final evaluation you receive in courses will be submitted as letter grades corresponding to this scale. Here is how to interpret grades in terms of our expectations of performance:

<b>Letter Grade</b>	<b>Carleton Numerical System</b>		<b>% Ranges</b>	<b>Explanation</b>
A+	12	Outstanding	90-100	For written work, virtually publishable. Demonstrates exceptional evaluative judgement, outstanding critical thinking, and mastery of technical as well as literary aspects of writing.
A	11	Excellent	85-89	Demonstrates superior grasp of material, very strong critical thinking, and capacity to understand and extend underlying patterns.
A-	10	Very Good	80-84	Demonstrates strong grasp of material, its component parts, and capacity to analyze their relationships to each other.
B+	9	Good	77-79	Demonstrates clear understanding of material and ability to apply concepts. Written work is competent.
B	8	Satisfactory	73-76	Satisfactory, but below average. Demonstrates comprehension of material, reasonable but not strong analytical capacity, with limitations in the ability to apply concepts.
B-	7	Barely Adequate	70-72	Clearly below average. Demonstrates comprehension and understanding, with limited capacity for application. Communication skills problematic.
C+	6	Less Than Adequate	67-69	Did not demonstrate an adequate understanding of the material or the ability to apply the concepts. Writing and/or presentations show serious problems.
C to D-			50-66	Grades in this range indicate work that is passable in some respects but does not meet the standards of graduate work.
F		Failure		Did not meet minimal requirements.

Grades of A- or B+ should be considered as good, solid performance. Statistically, the mean for graduate courses at the Master's level is between B and B+. A grade of B- is a signal that your work

was weak in some important respect. Normally, graduate students do not get credit for courses with a grade less than B-.

In the case of this course, final grades will be awarded as letter grades, but I will calculate your final grades based on the weighted mean of the grade point equivalencies. Example: A- on an exam worth 30%; B+ on a paper worth 45%; and B for participation worth 25%:

A-	10 x .30 = 3.00
B+	9 x .45 = 4.05
<u>B</u>	<u>8 x .25 = 2.00</u>
Final	9.05 or B+

Please note in the example above that your letter grade will correspond to the interval in which your numerical grade falls (e.g., anything between 9.0 and 9.9 is a B+).

## ACADEMIC ACCOMMODATION

You may need special arrangements to meet your academic obligations during the term. For an accommodation request the processes are as follows:

**Pregnancy obligation:** Write to me with any requests for academic accommodation during the first two weeks of class, or as soon as possible after the need for accommodation is known to exist. For more details visit the Equity Services website: <http://www.carleton.ca/equity/>

**Religious obligation:** Write to me with any requests for academic accommodation during the first two weeks of class, or as soon as possible after the need for accommodation is known to exist. For more details visit the Equity Services website: <http://www.carleton.ca/equity/>

### Academic Accommodations for Students with Disabilities:

1. Identify your needs for disability-related academic accommodations to the Paul Menton Centre (PMC), supported by relevant and recent documentation from a registered health care professional, by booking an intake appointment with a PMC Coordinator. Documentation forms are available for download on the [PMC website](http://www.carleton.ca/pmc/) <http://www.carleton.ca/pmc/>.
2. With appropriate documentation and your input, your PMC Coordinator will formally evaluate your needs for accommodation by establishing a protocol. Factors taken into consideration when establishing an accommodation protocol are the specific impact of your disability on academic functioning, the degree of the impact, the extent in which your documentation supports your requests, and whether the accommodation will significantly compromise the essential requirements and/or academic integrity of the course or program.
3. You must request accommodations at the beginning of each academic term. New students are required to meet their PMC Coordinator in the Fall and Winter Terms. If you are a returning student, you may have the option of submitting your request for accommodation on line via myPMC.

4. You will be issued a “Letter of Accommodation” for each course, stating your documented accommodation needs. The Letter is sent by email to your course instructor and your Carleton email.
5. You are required to speak to your course instructor soon after receiving the Letter to discuss how best to implement your accommodations. Please note that a 2-week notice is required for instructors to make accommodation arrangements for any in-class scheduled tests/quizzes/midterm exams.
6. The deadline to request accommodations for formally scheduled exams each term is published on the PMC website, on the [Deadline Dates page](http://www.carleton.ca/pmc/students/dates-and-deadlines/) <http://www.carleton.ca/pmc/students/dates-and-deadlines/>.
7. If your course instructor does not agree to any or all of your accommodations as stated on your Letter of Accommodation, you should contact your PMC Coordinator to request that s/he initiates an informal review of the decision.

You can visit the Equity Services website to view the policies and to obtain more detailed information on academic accommodation at <http://www.carleton.ca/equity/>

## SEMINAR SCHEDULE AND READINGS

### Theme I: Measurement Metrics and Techniques (*Weeks 1-4*)

#### Week 1 (September 11): Introduction and Overview

Transparency International, “What is Corruption”

[http://www.youtube.com/watch?feature=player\\_embedded&v=Udd2IJ2LZPs](http://www.youtube.com/watch?feature=player_embedded&v=Udd2IJ2LZPs)

World Bank, “Using Numbers to Improve Government”

<http://www.worldbank.org/en/news/video/2013/06/27/video-using-numbers-to-improve-government>

World Bank, “Opening Remarks: 9th Public Procurement Knowledge Exchange Platform”

<http://www.worldbank.org/en/news/video/2013/05/08/philippe-le-houerou-opening-remarks-9th-public-procurement-knowledge-exchange-platform>

Freedom House, “Protecting Human Rights Around the World”

[http://www.youtube.com/watch?v=dfwmzvlVPdc&feature=player\\_embedded](http://www.youtube.com/watch?v=dfwmzvlVPdc&feature=player_embedded)

#### Week 2 (September 18): International Policy Communities and Policy Transfer

*Key Discussion Questions: Where do policy ideas and innovations come from? To what extent are they generated domestically (within the country) or internationally? Who are the “idea agents”?*

Dolowitz, David P., & Marsh, David. (2000). Learning from Abroad: The Role of Policy Transfer in Contemporary Policy-Making. *Governance*, 13(1), 5-25.

McNutt, Kathleen, & Pal, Leslie A. (2011). "Modernizing Government": Mapping Global Public Policy Networks. *Governance*, 24(3), 439-467.

Pal, Leslie A., & Ireland, Derek. (2009). The Public Sector Reform Movement: Mapping the Global Policy Network. *International Journal of Public Administration* 32(8), 621-657.

Stone, Diane. (2008). Global Public Policy, Transnational Policy Communities, and Their Networks. *Policy Studies Journal*, 36(1), 19-38.

### Week 3 (September 25): International Government Agency Measures

*Key Discussion Questions: What is "governance"? How can it be measured, and what different approaches to measurement can be found among international agencies?*

Arndt, Christiane, & Oman, Charles. (2008). *The Politics of Governance Ratings*. Maastricht: Maastricht University.

Kaufmann, Daniel, Kraay, Aart, & Masturzzi, Massimo. (2010). *The World Wide Governance Indicators: Methodology and Analytical Issues*. Washington, D. C.: The World Bank.

OECD. (2011). *Government at a Glance 2011*. Paris: OECD, chapters 1, 2, 4, 12.

World Bank, World Wide Governance Indicators, available at <http://info.worldbank.org/governance/wgi/resources.htm> Please explore the site.

Fukuyama, Francis. (2013). What is governance? *Governance*, 26(3), 347-367.

Davis, Kevin et al. (eds.), *Governance by Indicators: Global Power through Classification and Rankings*. Oxford: Oxford University Press, 2012, chapter 1.

### Week 4 (October 2): NGO Measures and Metrics

*Key Discussion Questions: Here are three different NGOs that purport to measure governance. How do they differ?*

Transparency International, available at <http://www.transparency.org> Please explore the site, publications, activities, recent news, and methodology. What is the organization all about?

Global Integrity, available at <http://www.globalintegrity.org> Please explore the site, publications, activities, recent news, and methodology. What is the organization all about?

Freedom House, available at <http://www.freedomhouse.org> Please explore the site, publications, activities, recent news, and methodology. What is the organization all about?

## **Theme II: International Agencies (Weeks 5-7)**

### Week 5 (October 9): The World Bank

*Key Discussion Questions: Shouldn't the World Bank be a bank? Why is it concerned with governance issues?*

Murray, David J. (1983). The World Bank's Perspective on How to Improve Administration. *Public Administration & Development*, 3(4), 291-297.

Nanda, Vep D. (2006). The "Good Governance" Concept Revisited. *The Annals of the American Academy*, 603(January), 269-280.

Stone, Diane, & Wright, Christopher. (2007). *The World Bank and Governance: A Decade of Reform and Reaction* (Vol. 14). London: Routledge, chapters 1, 3.

World Bank. (1983). *World Development Report*. New York: World Bank and Oxford University Press, chapters 1, 2, 5, 10, 11.

#### Week 6 (October 16): OECD I

*Key Discussion Questions: The OECD has existed for 50 years. What new challenges does it face, and how do those challenges reflect the changing nature of the international arena?*

Carroll, Peter, & Kellow, Aynsley. (2011). *The OECD: A Study of Organisational Adaptation*. Cheltenham, UK: Edward Elgar, chapters 8, 10.

Mahon, Rianne, & McBride, Stephen. (2008). *The OECD and Transnational Governance*. Vancouver: UBC Press, chapters 2, 14.

Woodward, Richard. (2009). *The Organisation for Economic Co-operation and Development (OECD)*. London: Routledge, chapters 2, 3.

#### Week 7 (October 23): OECD II

*Key Discussion Questions: The OECD is supposed to be about "economic cooperation and development"? What does happiness have to do with this?*

##### *Readings*

OECD Better Life website, available at <http://www.oecdbetterlifeindex.org> Please explore the interactive tool and other rationale for the initiative.

OECD. (2011). *How's Life?: Measuring Well-Being*. Paris: OECD, chapters 1, 2, 9.

Pal, Leslie A. (2012). *Frontiers of Governance: The OECD and Global Public Management Reform*. Houndmills, Basingstoke: Palgrave Macmillan, chapters 3, 4, 5.

***Note: No class on October 30 because of Fall Break***

### **Theme III: Government Responses to Pressures to Reform (Weeks 8-12)**

#### Week 8 (November 6): Best Practices Project

*Key Discussion Questions: Can there be such a thing as a "best practice" in governance? Isn't every country different? What would count as a "best practice" in your country?*

Application to the Social Sciences and Humanities Research Council: “Best Practices in Public Management.”

Best Practices in Public Management Web site, available at <http://ww2.publicpolicy.utoronto.ca/ppgr/BestPractices/Pages/default.aspx> Once at the site, click on PracticeMap. You will be taken to the database of best practices recommended by international agencies. Review them (or a reasonable subset) and come to class prepared to discuss them.

Brunsson, Nils, & Jacobsson, Bengt (Eds.). (2000). *A World of Standards*. Oxford: Oxford University Press, chapters 1, 8.

Minard, Paul, “Standards and Best Practices.” Unpublished paper. 2012.

### Week 9 (November 13): Policy Influence through Policy Transfer

*Key Discussion Questions: How does “policy transfer” work? How could the process be improved?*

Alasuutari, Pertti, & Rasimus, Ari. (2009). Use of the OECD in Justifying Policy Reforms: The Case of Finland. *Journal of Power*, 2(1), 89-109.

Deacon, Bob, & Hulse, Michelle. (1997). The Making of Postcommunist Social Policy: The Role of International Agencies. *Journal of Social Policy*, 26(1), 43-62.

Rautalin, Marjaana, & Alasuutari, Pertti. (2007). The Curse of Success: The Impact of the OECD's Programme for International Student Assessment on the Discourses of the Teaching Profession in Finland. *European Educational Research Journal*, 6(4), 348-363.

### Week 10 (November 20): Why Do Countries Accept Standards?

*Key Discussion Questions: The “realist” approach to the international diffusion of public policy models emphasizes power. How do these articles differ in their explanation?*

Lodge, Martin. (2005). The Importance of being Modern: International Benchmarking and National Regulatory Innovation. *Journal of European Public Policy*, 12(4), 649-667.

Roberts, Alasdair. (2010). *The Logic of Discipline: Global Capitalism and the Architecture of Government*. New York: Oxford University Press, chapters 1, 2.

Simmons, Beth A., Dobbin, Frank, & Garrett, Geoffrey. (2008). *The Global Diffusion of Markets and Democracy*. Cambridge: Cambridge University Press, chapters 1, 9.

### Week 11 (November 27): Seminar Presentations

### Week 12 (December 4): Seminar Presentations