**NOTES: THESE ARE NOTES COMPILED BY STUDENT GROUP WORK AND ARE A STUDY RESOURCE WHICH YOU CAN BUILD UPON OR MODIFY**

**Legal Rational Model and Democracy and Governance-**

Max Weber; systematic; Routinization or slowing down of charismatic influences to lead to institutional framework overtime. Deviance from legal rational model: misuse of gov’t resources, position, power to make decisions. Legal rational model based upon democratic principal policy administration (and contractors)- implement policy as the decision makers have decided. Can be semi or non democratic. Implementers are selected by merit (requires an MPA). Based on a chain of command, political decision making done at the top. Particularly in post revolution 🡪 allows for decision making not based on ideological views (limits it). Institutions that allow predictable and specialized decision making to occur

Possible addition:

    -> corruption is one of the negative outcome for legal rational model and relate to back to possible examples of Woodrow Wilson's study of administration, implementation of Marshall plan and World Bank Institution.

Marshall Plan and World Bank are good example for institutions that allow predictable and specialized decision making to occur that was in a controlled systematized manner.

**Institutions vs. Charisma**

The concept of the ‘charismatic leader’ seen as a model of management comes from Weber. Charismatic leaders are often borne out of countries going through a revolution.  These leaders, such as Hitler, Napoleon, and Che Guevara captured the imaginations of the citizenry and inspired strong feelings of nationalism. Once charisma has been routinized, it is usually succeeded by a bureaucracy controlled by a rationally established authority. That is to say, once charisma fades, a system of governance and institutions must be in place to support the ‘spirit’ of the leader. Cuba, for example, went through a period of charismatic leadership during the revolution…personified by Che Guevara and Castro. However, as the revolution succeeded and the men aged, we witnessed Cuba transitioning into Weber’s Legal-Rational model. Wilson, too, is said to personify this.

**Public Sector Reform: Legal, Behavioral, Fiscal**

The US public sector has tried many reform, because there was a problem with selling position or giving civil service position to leader's royal subordinate and firing previous civil servicemen. Despite many attempt to reform the system, US is still facing same problem till this day. Civil Service Reform by Woodrow Wilson who is in big favor of Max Weber's idea of public administration is most representative attempt. The issue is that many countries are taking US system of public service as model public service system.

**Keynesianism and Good Governance-**

Keynesianism reflects the role that bureaucracy plays in development and involvement of the government in the economy and that the state needs to make up for when the market falls short (public spending during recession, cutting back during times of prosperity). This would include a state guided market economy, given examples are the so called “Asian tigers” which experienced vast growth under state guidance as well as New Deal policies FDR and current Social-welfare states in Western Europe. Most of today’s states show legacies of Keynesian policies like universal healthcare, social welfare, central banks with interest and currency controls, and other public projects. Criticized as enlarging the public sector to the point of making it ineffective, bloated government, and taking advantage of welfare benefits, all of these criticisms directly led to the rise of neo-orthodoxy in the US and the UK.

**International Development and the Intersection of Public Sector and Civil Society**

The Development Model: Keynes- the role of the public sector and development. Finding a balance of law and order with social and economic change.  How big of a role should the government play in development; there are dangers on both sides. Kafka’s “The Castle” provides a good example of how the public may perceive bureaucracy due to the many hurdles the contractor had to face to remedy a seemingly simple problem. It is important to consider using the comparative approach- that culture matters. The effects of the public sector on civil society in perception and how services and law are carried out or hindered. Examples include: a nanny state in which the state tells you what you can or cannot do (UK recent ban of pornographic sites), World bank, IMF requiring ‘good governance’ from developing countries to continue to receive aid, the ‘State Guided Market Economy’, modeled by Japan is an example of how to balance the government’s role (as well as the level of involvement of private sectors) in international development.

**Contracts and Privatization**

The issue of privatization addresses the degree a government should outsource contracts to private contracts or why. Although privatization seemed to be the way to go to root out corruption and inefficiency in the government (bureaucratic red tape), when privatization is managed improperly, it can generate income for private sector organizations using public resources. When used properly, small governments can improve capacity through contracts without becoming reliant on the contractors. The best policy is the public-private partnership, which is an informal and formal relationship between the sectors to improve administrative efficiency. John Armstrong argues that PPPs also offer vital education and training. Considering the evolution over time from the Keynesian neo-classical model to Adam Smith’s Neo-Orthodox ‘invisible hand’.

**The Environment of Public Affairs-**

The structure of government develops into a legal-rational model, and the implementation of policies through a neutral civil service that is accountable and efficient. Contracts and privatization is the key to the 21st century governance because both need to work together to maximize efficiency.

—Legal-Rational Model—a modern, technical and specialized form of administration.

—Characteristics:

Merit Selection—did you earn the position? Or was it ascription (hereditary)?

Hierarchy (Chain of Command)—who is in charge?

Routinization of Charisma—charismatic leaders gain power (usually revolutionary) due to popularity with the people… Then slowly lose that charisma with age and experience. (Castro example)

Institutions and Rule of Law—are there norms in place governing principles of fairness and justice?

—these are democratic principles but LR Model does not necessarily have to exist in a democracy

—Public Affairs combines many issues and dichotomies that are continually engaged in push/pull scenarios or collaboration, fighting for influence:

1. Privatization vs. Contracts—key to 21st century governance; Public vs. Private Sector dominance

2. Regulation vs. Deregulation (particularly in ID);

3. Governance—Democracy (diff types) vs. Authoritarian and others

4. Political Economy—Who gets WHAT, WHEN, WHERE, AND HOW?

**The Debate about Institutions**

Institutions vs organizations are defined differently. Institutions equal formal or informal rules put in place for society to operate under, are meant to be efficient and can help regulate behavior; can be systematized rules or systems. An organization is a group made of people with similar interests looking to accomplish specific goals. Organizations must follow rules of institution process. You need rules/policies set in place but too many are bad. Rules and regulations help ensure that things are done fairly and impartially.

Example of double-edged sword: Kafka & mayor; Woodrow Wilson. World Bank is an institution, not an organization as defined in textbook. Institution is the system. When we talk about institutions, we know that we are dealing with structures or tools that have been put in to place to govern the behavior of human beings in a particular society. Organization is a grouping that comes into being to achieve some shared goals of individuals.

The debate of institutions generally concerns the confusion between what is considered an institution or an organization. Institutions are the set of rules put in place for society to operate under, are meant to be efficient, and may regulate our behavior. Organizations are groups created by people with similar interests looking to accomplish specific goals. Organizations must abide by the rules implemented by institutions. An example of an organization is the Wounded Warrior Project whereas the World Bank is an institution. We also see some distinctions between the two in the Wilson/Kafka classic readings from the syllabus.

**Traditional, Charismatic and Legal-Rational Models of Public Administration-**

Max Weber’s Models of Management are traditional, charismatic, and the legal rational model. For example, the *traditional model* of management is represented by a monarchy i.e. Louis XIV of France, however this model is very centralized and would further illustrate evolution to a bureaucratic system. Occurs in authoritative countries where the evolutionary process was slow.

The *charismatic model* of management is based on personality and sometimes ideology. Figures that represent this model are Napoleon, Hitler, and Fidel Castro. Many charismatic leaders come out of a revolutionary process which gives them authority and legitimacy. Routinization of charisma – the notion that charismatic leadership fades with time and morphs into the legal-rational model. (Just acknowledge that this is a transient stage). Part of this process is accompanied by the presence of institutions.

The *legal-rational model* - Hierarchy – Chain of command; Division of labor & functional specialization; Administrative work; Contractual agreement; Professional or Technical training; it is the last step of Weber’s management theories. It is based on four principles: Implementers who are selected by merit, and who can faithfully implement policy; Hierarchy – based on a chain of command with decision making being done at the top with implementation following further down the command; Routinization of charisma in societies of revolution occurs when you try to establish institutions to allow for specialized technical decision making as well as limiting ideological change.

 (Essential for maintaining legal rational model by reducing role of charisma and emphasizing rule of law). These new institutions are therefore able to operate in a predictable manner. As an example, use Gerald Ford. His pardon of President Nixon was not a popular decision but was necessary to establish order and put the system back together again. Woodrow Wilson is yet another example. As President he looked at the presidency from an academic and administrative perspective rather than the political perspective, as evidenced by the handout from Week 2.

**Corruption and Civil Service Reform**

One source of corruption is bureaucracy bashing, which is the tension between the official and personal norms in organizations. This occurs because being a part of the bureaucracy results in being dehumanized and treating individuals in civil society as cases rather than people. Corruption is everywhere in democratic nations and elsewhere so civil service reform occurs in various ways to return the system to how it should operate. Kafka argues that one cannot reform the civil service, one can only eliminate it.

Corruption: misappropriation of public resources for personal use

Bureaucracy is dehumanizing because of the separation between civil society and bureaucrats

Civil Service reform can be used to combat corruption and serve society more effectively

                Policy (establishment of rules and regulation) provides the framework for civil service reform

Corruption can exist in many different forms, and happens in all countries

                Can be behind the scenes (especially in outsourcing/contracting out)

Private sector and contracting out: there needs to be a balance of what is contracted out or there will be an excess of profit and responsibility in private sector hands, limiting the democratic input of society

Crony capitalism is a major form of corruption

In the readings:

* Kafka showed how ultra-bureaucracy can encourage all kinds of bad practices
* Leamann mentions influential members of Chicago’s black community guaranteeing votes in return for favors
* “The Greatest Man in the World” government lies to the public-misinformation is a form of corruption

**Debates about Contracting-**

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Examples:

Mercantilism vs “unbridled capitalism” vs neo-orthodoxy: varying degrees of government involvement in market

NGOs: how much funding comes from state/government and how much comes from private sector

                Contracting out diminishes accountability of the state

**Review: Comparative Methodology**

Understanding and analyzing public administration by comparing systems in different areas, process and time and systems at a same time. By doing so, comprehensive understanding and analysis is attainable.  is to compare two things to find out their similarities and differences. We can compare in the following aspects: Compare different areas or systems; Compare different times; Compare different systems at the same time;Compare different processes

**Authoritarian Leadership**

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**Public Sector & Economy (1 sent summary & 1 key historical figure who represents it)**

* Free Market- Pioneered by Adam Smith, economic theory/model that revolves around the idea of the “Invisible hand” which is determined by individual rational choice.
* Mixed or Social Democratic- Most of the western European countries, basic free market principles mixed with strong social safety nets. Involves stronger government control over the economy (when compared to a pure free market).
* Socialist Industrialization- Pure government control over the economy. Government owned industries, redistribution of resources. Lenin, Stalin.
* Autarky with Rural Mobilization- Autarky- economic self sufficiency on a state level. No need for imports. Rural Mobilization- collectivization of agricultural sector. Important because you are solidifying the food base for your state, a critical first step in establishing an Autarky. Mao.
* Corporatism- Society of major interest groups or corporate groups, such as agriculture, business, ethnic labor.
* Fascism- Nationalistic, elements of both liberal and socialist thought. Defined by a charismatic totalitarian leader and suppression of undesired elements in society. Mussolini.

**Keynesian**

Keynes, while not a true socialist like Marx, did advocate for strong government whose features included the rule of law and providing some social services such as health and education. He believed in a mixed economy, predominately private sector but with a role for government invention during crises. A great example of Keynes’ ideas in action could be seen during the New Deal, when the government intervened after ‘unbridled capitalism’ led to the great depression.

**Marxist Theory on 4 Epochs (class conflict)**

Marxism is Lenin’s theory of evolution that every society would experience the four stages respectively: 1.) Slavery; 2.) Feudalism; 3) Capitalism and eventually 4) Socialism. First, as for the slaves, people don’t have rights to decide what they want to do and they are suppressed by their owners or rulers. Second, Feudalism is to construct the society by giving lands and people to landlords. Third, Capitalism is a free market theory in which business is conducted by individual perception of the market. The government does not directly intervene in such market, but has regulatory policies that generally favor entrepreneurs. All individuals have rights to make the best decisions for themselves.  For example, US, UK are mostly capitalist. Eventually, in terms of socialism, it is a theory of social construction or system that the social controls means of production and contribution. For example, China is a country that pursue Marxism and have experienced two stages of the evolution: Slavery like Dynasty Xia and Feudalism like Dynasty Tang. It is now the most typical country with a socialism system.

**Command Economy**

The government tells the economy how to operate and what to produce: taxes, state owned businesses, trade regulations. Due to central government planning, this model is the opposite of Adam Smith’s free market. A model revised by Keynes and Roosevelt to build a national planning system (The New Deal and the welfare state we have today). The Keynesian model of economics and European socialism are examples of different levels of command economies. Another consideration: development administration- command economies in the third world.

**Mercantilism, Liberalism & Neo-Liberalism Economic Theories**

Mercantilism (economics)

* Economic system in which the government regulates a nation’s economy for the purpose of augmenting state power at the expense of other powers. They do this through overseas colonies, monopolizing through state supported companies.

Liberalism (economics)

* 19th Century- Laissez faire economic policies in which the "invisible hand of the market" self regulates the market.; in 20th Century changes term to ‘Keynesianism’ plus with social and liberal connotations including related to human rights

Neoliberalism (economics)

* Pre-Keynesianism. Direct response to Keynesianism by the University of Chicago's Milton Friedman. The idea that individuals and firms are rational actors that maximize utility and profits, government should not interfere with individual behavior because the invisible hand of the market will provide and is the key to economic growth. The international application of this in international development is called "structural development". Also Neo-Orthodoxy have to return to 19th century economics, dominate view until 1929 when Stock Market Crash, free market economies

**Neo-Orthodoxy Economic Theory & Friedman**

Neo-orthodoxy can be summarized by the following three features: 1) a free market, 2) suspicion of big government/government control, and 3) an individual value system. Today, we’re transitioning through this system and current debates feature discussions about these issues with respect to the role government should or should not play within them. What we see is a call for small government characterized by the ‘libertarian movement’ in contrast to the more mixed economy supporters who even grand toward true socialist ideas.

**Neo-classical Liberalism**

Based on belief that people have rational preferences between outcomes that can be identified and associated with values. Government should stay out or not interfere with people’s individual decisions or behavior. Invisible hand of market is important for good economic growth.

Making structural adjustment or changes to put market first and state in a secondary place.

**Different Political Models- (1 sentence summary & 2 countries currently with this system)**

* **Separation of Powers**
	+ Also known as “Presidential System” is based on a constitution that creates three parts of government (legislative, executive, judicial). A few examples would be the United States, Mexico, Philippines as well as a number of Latin American countries.
* **Parliamentary System**
	+ Most countries claim to have this type of system in place. In a Parliamentary System, the Legislative Branch wields the most power and the Executive and Judicial branches are subordinate. Examples include the United Kingdom, Scandinavia, and other former British colonies. It is attractive to formerly authoritarian systems due to their established cultures and institutions, more so than separation of powers.  The Prime Minister holds the most power and is appointed by the House of Commons and is responsible for selecting his/her cabinet.
* **Mixed Systems:**
	+ “French Hybrid”
	+ President is the authority, but there is a separate legislature
	+ Power can shift strongly in favor of legislature (parliament), making the president mainly ceremonial
* **One Party:**
	+ Also called “No party,” includes fascist and Afro-Marxist states
	+ State is subordinate to the only extant party OR ruling group (in no-party states)
	+ Common globally, and can create predictable institutions
* **Military and Authoritarian:**
	+ Military dictatorship, absolute monarchy, no constitution regulating the governing body
	+ No systems to protect the citizens from the state
	+ Frequently corrupt and nepotism based, but can evolve to be more representative/democratic

**Jackson’s ‘Spoils System’ as a recruitment model**

The winning political party gives jobs to its supporters, friends, and relatives generally as an incentive for their vote. ~~This is the opposite of the merit system - positions are given, not earned.~~ Grew in the US with Andrew Jackson's democrat victory of 1828. Often includes patronage, selling of jobs, and/or kickbacks.

**Corruption and dysfunctional bureaucracy according Kafka**

Kafka, as an early bureaucracy basher, revealed the corruption and dysfunctional bureaucracy through his novels. He developed Kafkaesque, emphasized Dysfunctional Bureaucracy, Maze of Regulations and Image of Public Sector as Inefficient. Kafka showed how ultra-bureaucracy can encourage all kinds of bad practices.

**Politics-Administration Dichotomy of Wilson**

Decisions in governments should not be influenced negatively by politics. This was coming from the disappointment in the dysfunction of spoils system. Public administration should be separated from politics. (One example is useful)

**Vertical and horizontal regulatory conflicts that Schiavo-Campo and McFerson**

Vertical conflict happened between national regulation and the actions of decentralized government bodies, such as federal government and state government. Horizontal conflict happened between national regulations and specific national government entities. (It also endemic between the essential provisions for accountability and transparency of public administration and the reluctance of individual agencies to disclose the bases of their decision or invest time an adequately informing the public.)

**Rent Seeking**

Person or group accepting or receiving a bribe, or gaining special bids on a contract, waiving regulations, or access to privileges that are not fair. Seeking rent doesn’t honor competition and is not merit based. The activity between a group of people or individuals’ activities in order to increase one’s share without increasing the total wealth. Can lead to crony capitalism. Increasing someone’s wealth without increasing total wealth. Giving a position and taking a percent of salary. Take something they already own or funds that will be allocated to something similar already. It is not blatant corruption, put into position involving bribe in order to take advantage of the system without increasing total wealth. Ex: Lobbies go to candidates funds-not taking additional money, used for a similar purpose.

**Role of Culture as an institution in public administration**

—institutions traditionally used as a synonym for organizations, but institutions should be understood in their contemporary meaning as the *basic rules* of behavior

—individual considerations vs. group preferences

—cultural differences are extremely important in explaining different governing and administration styles (comparative analysis), preferences, but the basic methods of executing and evaluating public admin should be unaffected by specific cultural ideas or norms; recognizing their importance must not lead to immobility or relativism

**Good Governance according to Wilson and textbook Schiavo-Campo and McFerson**

Schiavo campo: four pillars transparency, accountability, participation and predictability (rule of law)- define well

Governance: the way state power is exercised

Strong governance is built on strong civil society

Wilson: Governance is the most visible part of government, and needs to be removed from politics, efficient and orderly.

**Liberal verses Illiberal Democracy from Zakaria**

Liberal democracy is a political system with free & fair election. It has the rule of law that has separation of powers, and the protection of basic liberties. The majority rules/determines and excludes minorities and can be prejudice of minorities. Best not to give national examples of this as your opinion of one government may differ and it also depends the time. If make argument make it from book.