



HARVARD Kennedy School

**ASH INSTITUTE**

for Democratic Governance and Innovation

## **Ash Institute Resource Guide**

Research, Publications, and Programs on  
Government Innovation and Democratic  
Governance

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Research, Publications, and Programs on  
Government Innovation and Democratic Governance

Ash Institute for Democratic Governance and Innovation  
John F. Kennedy School of Government  
Harvard University

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## **INTRODUCTION**

For twenty years, the Innovations in American Government Awards Program has recognized and promoted excellence and creativity in the public sector, and has generated a plethora of research related to government innovation and to its award-winning initiatives. In 2003, the Innovations Program became part of the Ash Institute for Democratic Governance and Innovation, and the Institute has broadened its research focus to study innovation and democratic governance globally.

This Resource Guide catalogs research related to the principles and innovative practices of democratic governance. The guide provides citations for Ash Institute publications as well as outside resources, some inspired by winners of the Innovations Award. We hope you will find this Guide useful in your own work.

## **BACKGROUND**

The Roy and Lila Ash Institute for Democratic Governance and Innovation fosters excellence in government around the world in order to generate and strengthen democracy. Through its research, publications, curriculum support, global network, and awards program, the Ash Institute explores critical issues in democratic practice and effective governance. By engaging a broad, global community in which knowledge is shared, by generating and supporting research and curriculum materials, and by highlighting exemplary government programs, the Institute serves as a catalyst for successfully addressing many of the world's most pressing concerns and, in turn, improving the lives of its citizens.

The Ash Institute was established in 2003 to address critical issues of governance and make governments more effective and responsive. The Institute owes its origin to two great visionaries, Susan Berresford, the president of the Ford Foundation, and Roy Ash, a cabinet member in two U.S. government administrations and best known as the founder of the modern Office of Management and Budget. Berresford noted that among the millions of people engaged in governance activities, there were many who, although unnoticed, were striving to improve the performance and effectiveness of government. To counter declining faith in government, it was necessary to spotlight, celebrate, and replicate these numerous innovative government programs in the US and worldwide. With a grant from the Ford Foundation, Harvard Kennedy School launched the Innovations in American Government Awards in 1985. Roy L. Ash, a dedicated public servant and philanthropist,

argued that while considerable scholarly attention was being applied to the questions of governance in the government, most of the work related to specific public policy and current programmatic issues. He called for an application of concentrated scholarly attention to the very nature of democracy, and with his wife, Lila, provided a generous endowment to establish the Ash Institute for Democratic Governance and Innovation.

Four central programs support the mission of the Ash Institute:

The **Innovations in American Government Awards Program** identifies and promotes best practices and exemplary initiatives that can be replicated in other settings, providing public officials and senior executives with models for innovation at all levels and policy areas of American government. More than \$19.2 million in awards have been presented to over 300 programs.

The **Global Network** is a worldwide community of leaders dedicated to creative and effective government. It includes sister programs in Brazil, Chile, China, East Africa, Mexico, Peru, the Philippines, South Africa, and Native American Tribes. The Global Network is supported by the online platform, Government Innovators Network, a dynamic means of sustaining a community of innovators in government, academia, research, the media, and private organizations. In addition to this guide, the Government Innovators Network hosts a number of resources on innovation and democratic governance including news, documents, descriptions of award-winning innovative programs, event listings, as well as online communities of practice.

**Knowledge Building** is a hallmark of the Ash Institute's continuing effort to catalyze innovation and explore the actual processes of democracy. Research results in papers, monographs, books, and case studies, used in the Harvard Kennedy School strategic management curriculum and in other programs. Dissemination occurs via the Government Innovators Network, conferences, and content presented through executive education programs, so as to reach the broadest possible audience of public leaders. Each year the Ash Institute sponsors research awards for Harvard Kennedy School faculty and offers visiting scholar appointments.

The Ash Institute's **Teaching and Training** program offers over 200 case studies taught at Harvard Kennedy School and in public policy schools around the world; curriculum guides to courses at Harvard University on democracy and innovations; and an active program of support for HKS students. The Institute also offers capacity building and training programs for practitioners in developed and developing countries.

## BOOKS

The following books on innovation and democratic governance, some commissioned by the Ash Institute and the Innovations in American Government Awards Program, can be obtained from their respective publishers.

**Altshuler, Alan A. and Robert D. Behn, eds.** *Innovation in American Government*. Brookings Institution Press: Washington, DC. 1997.<sup>1</sup>

Innovation does happen—even in government! Despite all the news about government scandals and failures, public officials are innovative. This book analyzes numerous examples of ingenious problem solving—in education in California, in the Department of Juvenile Justice in New York City, in government operations in Minnesota, in human service programs across the country.

All organizations, both public and private, need innovation, but making innovation work in government is a greater challenge than doing so in business. This book identifies a number of dilemmas that complicate the process of innovating in American government. For example, there is the “trust dilemma”: Innovation may be necessary to establish public faith in the ability of government agencies to perform, but before the public grants agencies a license to be truly innovative, it needs to be convinced that these same agencies have the ability to perform.

The contributors to this book analyze a number of issues raised by the task of innovation, including: Who is responsible for innovating? How can innovative individuals and teams be held accountable? What kinds of organizational arrangements beget the most innovation? How can innovation be fostered in agencies devoted to routinization? How should innovative ideas be disseminated? And what exactly is an “innovation” anyway?

The contributors gathered data for this book from winners and finalists in the Ford Foundation's Innovations Awards program, as well as from other innovators and innovations.

In addition to the editors, the contributors are Babak J. Armajani, Michael Barzelay, W. Lance Bennett, Paul Berman, Richard F. Elmore, Robert M. Entman, Lee S. Friedman, Thomas N. Gilmore, Olivia Golden, James Krantz, Laurence E.

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<sup>1</sup> All book descriptions are from their respective publishers.

Lynn Jr., Mark H. Moore, Beryl Nelson, Ellen Schall, Malcolm Sparrow, William Spelman, Deborah A. Stone, and Marc D. Zegans.

**Barzelay, Michael and Babak J. Armajani.** *Breaking Through Bureaucracy.* University of California: Berkeley, CA. 1992.

This book attacks the conventional wisdom that bureaucrats are bunglers and the system can't be changed. Michael Barzelay and Babak Armajani trace the sources of much poor performance in government to the persistent influence of what they call the bureaucratic paradigm—a theory built on such notions as central control, economy and efficiency, and rigid adherence to rules. Rarely questioned, the bureaucratic paradigm leads competent and faithful public servants—as well as politicians—unwittingly to impair government's ability to serve citizens by weakening, misplacing, and misdirecting accountability.

How can this system be changed? Drawing on research sponsored by the Ford Foundation/Harvard University program on Innovations in State and Local Government, this book tells the story of how public officials in one state, Minnesota, cast off the conceptual blinders of the bureaucratic paradigm and experimented with ideas such as customer service, empowering frontline employees to resolve problems, and selectively introducing market forces within government. The authors highlight the arguments government executives made for the changes they proposed, traces the way these changes were implemented, and summarizes the impressive results. This approach provides would-be bureaucracy busters throughout the United States with a powerful method for dramatically improving the way government manages the public's business.

“Generalizing from the Minnesota experience and from similar efforts nationwide, the book proposes a new paradigm that will reframe the perennial debate on public management. With its combination of carefully analyzed ideas, real-life examples, and closely reasoned practical advice, *Breaking Through Bureaucracy* is indispensable to both public managers and students of public policy and administration.

**Behn, Robert.** *Leadership Counts: Lessons for Public Managers from the Massachusetts Welfare, Training, and Employment Program.* Harvard University Press: Cambridge, MA. 1998.

How can public officials move large government agencies to produce significant results? In *Leadership Counts* Robert Behn explains exactly what managers in the inherently political environment of government need to do to obtain such performance.

In 1983 the leadership of the Massachusetts Department of Public Welfare—Charles M. Atkins, Thomas P. Glynn, Barbara Burke-Tatum, and Jolie Bain Pillsbury—set out to educate and train welfare recipients, place them in good jobs, and move them from dependency to self-sufficiency. From these efforts to accom-

plish a specific and important public purpose, Behn extracts the fundamental ingredients of successful public leadership.

Behn's analysis spans the spectrum of managerial tasks—from the almost spiritual responsibility to create and communicate a public mission to the seemingly mundane chore of motivating specific individuals to accomplish specific tasks. He describes how to manage for performance, examines how effective leaders can use external success to build internal morale, and analyzes the dilemmas of evaluating ongoing and evolving public policies. He explains in detail how accomplishing specific purposes requires “management by groping along.” And he analyzes three different metastrategies for government executives—strategies that emphasize policy, administration, or leadership.

*Leadership Counts* is more than an intriguing success story. It offers specific lessons that the nominal head of any government agency can employ to become the organization's true leader. This insightful book will be of interest not only to students and teachers of public management but to leaders at all levels of government—from the principal of a school to the secretary of defense.

**Borins, Sandford, ed.** *Innovations in Government Research, Recognition, and Replication.* Brookings Institution Press and Ash Institute for Democratic Governance and Innovation: Washington, DC. 2008.

The Innovations in American Government Awards Program began in 1985 with a grant from the Ford Foundation to Harvard Kennedy School to conduct a program of awards for innovations in state and local government. The Foundation's objective was ambitious and, in an era of “government is the problem” rhetoric, determinedly proactive. It sought to counter declining public confidence in government by highlighting innovative and effective programs. Over twenty years later, research, recognition, and replication are the source of the program's continuing influence and its vitality.

What is the future of government innovation? How can innovation enhance the quality of life for citizens and strengthen democratic governance? *Innovations in Government: Research, Recognition, and Replication* answers these questions by presenting a comprehensive approach to advancing the practice and study of innovation in government. The authors discuss new research on innovation, explore the impact of several programs that recognize innovation, and consider challenges to the replication of innovations.

Contributors include Eugene Bardach (University of California—Berkeley), Robert Behn (Harvard University), John D. Donahue (Harvard University), Marta Ferreira Santos Farah (Center for Public Administration and Government, Fundação Getulio Vargas), Archon Fung (Harvard University), Jean Hartley (University of Warwick), Steven Kelman (Harvard University), Gowher Rizvi (Ash Institute for Democratic Governance and Innovation, Harvard University), Peter Spink (Center for

Public Administration and Government, Fundação Getulio Vargas), and Jonathan Walters (Governing).

**Borins, Sanford.** *Innovating with Integrity: How Local Heroes are Transforming American Government.* Georgetown University: Washington, DC. 1998.

*Innovating with Integrity* presents a comprehensive portrait of the local heroes—frontline public servants and middle managers—who are reinventing state and local government, and it offers practical recommendations for innovating successfully.

Based on a study of more than 200 successful government innovations, this book is the first large-scale, systematic analysis of innovation in American government. Sanford Borins identifies the components of integrity that he finds in successful innovators, including the intellectual discipline to plan rigorously and to establish measurable goals; the ability to collaborate with others and accommodate criticism; and a willingness to mobilize both the private sector and the community.

This trenchant analysis of what initiatives actually work and why contributes to both the practice and theory of public management. Its practical advice will be especially valuable for frontline workers, public managers, union leaders, agency heads, politicians, and all concerned with reforming government.

**Cheema, G. Shabbir and Dennis A. Rondinelli, eds.** *Decentralizing Governance: Emerging Concepts and Practices.* Brookings Institution Press, Washington, DC, 2007.

Few issues have created as much controversy over the past half century as how governments and political systems should be structured and how public policies should be made and implemented. Centralists generally believe that national political leaders and administrators know best how to provide security, promote economic growth, and maintain political stability. Those who argue for decentralization generally tend to have a more populist view. They tend to believe that the best public policies come from wide participation in public affairs and from local knowledge about how best to solve problems and meet the needs of citizens.

As a result of changes brought about by globalization and also of changes in the concepts of governance, new forms of participation—and demands for them—have emerged in both rich and poor countries. These changes are redefining the meaning of decentralization. In the 1970s and 1980s decentralization was seen primarily as the deconcentration, delegation, or devolution of responsibility for decision-making and administration from the central level of government to subordinate administrative units or local governments. New concepts and practices of decentralization are emerging, however, that create new forms of participation, new dimensions of power sharing, and new sources of influence over public policymaking and implementation.

In this book, the authors explore and examine the shift from decentralization of government to decentralized governance and to assess emerging principles and practices in the public, private, and civil society sectors. It is due primarily to the authors of the chapters in this volume and to their dedication and commitment to analyzing the emerging principles and practices of decentralized governance around the world that we are able to understand better the importance of these changing concepts. In addition to the editors, G. Shabbir Cheema and Dennis A. Rondinelli, the authors include: Guido Bertucci, Maria Stefania Senese, Merilee S. Grindle, John-Mary Kauzya, Ledivina V. Cariño, Peter Blunt, Mark Turner, Paul Smoke, Enrique Cabrero, Derick W. Brinkerhoff, Jennifer M. Brinkerhoff, Stephanie McNulty, Goran Hyden, Naresh Singh, Kadmiel H. Wekwete, Kem Lowry, and William Ascher.

**Donahue, John D., ed.** *Making Washington Work: Tales of Innovation in Federal Government.* Brookings Institution: Washington, DC. 1999.

In 1995 the Ford Foundation's annual "Innovation in American Government" award competition was opened up to federal candidates and a third of the winners since then have been federal institutions. This book profiles the 14 federal award winners from 1995 to 1998 and challenges the conventional wisdom about the federal bureaucracy's capacity to adapt. Examples include the Consumer Product Safety Commission, which figured out how to identify and act upon business and government's shared stake in keeping dangerous products out of consumers' hands; and the Wage and Hour inspectors in the Labor Department, who deployed market leverage to put pressure on the garment-industry scofflaws whose sweatshops had evaded conventional enforcement.

**Eggers, William D.** *A Government 2.0: Using Technology to Improve Education, Cut Red Tape, Reduce Gridlock, and Enhance Democracy.* Rowman & Littlefield Publishers, Inc.: Lanham, MD. 2005.

This is a well-written, lively, optimistic book that calls for the transformation of technology in government from lipstick on a bulldog to total information awareness. This book is proactive in nature (see what these governments are really doing), does not call for a wholesale and costly transformation, and employs a subtle shaming of those governments that have not yet joined the 21st century. William Eggers's argument, conservative in nature, states that the world of politics would quickly and markedly benefit from this digital transformation in terms of a fiscal payoff, but a more profound change would result as governments become more transparent, more democratic, and more efficient.

**Fung, Archon.** *Empowered Participation: Reinventing Urban Democracy.* Princeton University Press: Princeton, NJ. 2004.

Every month in every neighborhood in Chicago, residents, teachers, school principals, and police officers gather to deliberate about how to improve their schools and make their streets safer. Residents of poor neighborhoods participate as much or more as those from wealthy ones. All voices are heard. Since the meetings began more than a dozen years ago, they have led not only to safer streets but also to surprising improvements in the city's schools. Chicago's police department and school system have become democratic urban institutions unlike any others in America.

*Empowered Participation* is the compelling chronicle of this unprecedented transformation. It is the first comprehensive empirical analysis of the ways in which participatory democracy can be used to effect social change. Using city-wide data and six neighborhood case studies, the book explores how determined Chicago residents, police officers, teachers, and community groups worked to banish crime and transform a failing city school system into a model for educational reform. The author's conclusion: Properly designed and implemented institutions of participatory democratic governance can spark citizen involvement that in turn generates innovative problem-solving and public action. Their participation makes organizations more fair and effective.

Though the book focuses on Chicago's municipal agencies, its lessons are applicable to many American cities. Its findings will prove useful not only in the fields of education and law enforcement, but also to sectors as diverse as environmental regulation, social service provision, and workforce development.

**Fung, Archon, Mary Graham, and David Weil.** *Full Disclosure: The Perils and Promise of Transparency.* Cambridge; New York: Cambridge University Press, 2007.

Which SUVs are most likely to rollover? What cities have the unhealthiest drinking water? Which factories are the most dangerous polluters? What cereals are the most nutritious? In recent decades, governments have sought to provide answers to such critical questions through public disclosure to force manufacturers, water authorities, and others to improve their products and practices. Corporate financial disclosure, nutritional labels, and school report cards are examples of such targeted transparency policies. At best, they create a light-handed approach to governance that improves markets, enriches public discourse, and empowers citizens. But such policies are frequently ineffective or counterproductive. Based on an analysis of eighteen U.S. and international policies, *Full Disclosure* shows that information is often incomplete, incomprehensible, or irrelevant to consumers, investors, workers, and community residents. To be successful, transparency policies must be accurate, keep ahead of disclosers' efforts to find loopholes, and, above all, focus on the needs of ordinary citizens.

**Goldsmith, Stephen and William D. Eggers.** *Governing by Network: The New Shape of the Public Sector.* Brookings Institution Press: Washington, D.C. 2004.

A fundamental, but mostly hidden, transformation is happening in the way public services are being delivered, and in the way local and national governments fulfill their policy goals. Government executives are redefining their core responsibilities away from managing workers and providing services directly to orchestrating networks of public, private, and nonprofit organizations to deliver the services that government once did itself. Authors Stephen Goldsmith and William D. Eggers call this new model "governing by network" and maintain that the new approach is a dramatically different type of endeavor that simply managing divisions of employees.

Like any changes of such magnitude, it poses major challenges for those in charge. Faced by a web of relationships and partnerships that increasingly make up modern governance, public managers must grapple with skill-set issues (managing a contract to capture value); technology issues (incompatible information systems); communications issues (one partner in the network, for example, might possess more information than another); and cultural issues (how interplay among varied public, private, and nonprofit sector cultures can create unproductive dissonance).

*Governing by Network* examines for the first time how managers on both sides of the aisle, public and private, are coping with the changes. Drawing from dozens of case studies, as well as established best practices, the authors tell us what works and what doesn't. Here is a clear roadmap for actually governing the networked state for elected officials, business executives, and the broader public.

**Goldsmith, Stephen.** *Putting Faith in Neighborhoods: Making Cities Work Through Grassroots Citizenship.* Hudson Institute. 2002.

As Mayor of Indianapolis, Stephen Goldsmith saw firsthand that urban renewal begins with residents claiming responsibility for the future of their neighborhoods. In *Putting Faith in Neighborhoods*, Goldsmith explains how Indianapolis invented a national model for creating vibrant urban centers through encouraging citizenship and engaging of faith-based organizations. He argues that social pathologies are best confronted not by large programs administered by government, but by citizens actively engaged in making their communities safer, more compassionate and more productive.

**Goldsmith, Stephen.** *The Twenty-First Century City: Resurrecting Urban America.* Regnery. 1997.

After decades of decay and decline, America's cities are coming back. Innovative mayors from both political parties are leading the resurgence by tearing down the failed big-government bureaucracies of the past and using free-market approaches to create growth and opportunity.

In *The Twenty-First Century City*, Mayor Stephen Goldsmith describes this

urban revival and provides a road map for other cities to follow. He explains the philosophy that unites the new breed of mayors and offers a description in rich detail of how he turned the Indianapolis city government into an internationally acclaimed model for urban governance.

*The Twenty-First Century City* is the first book to describe the sweeping changes taking place in city halls across America. Candid about failures as well as successes, Goldsmith shows how other cities can replicate the Indianapolis approach. Detailed case studies explain how Indianapolis negotiated the largest airport, wastewater, and military base privatizations in United States history.

**Goldsmith, Stephen.** *The Entrepreneurial City: A How-To Handbook for Urban Innovators*. Editor, Manhattan Institute. 1999.

Newly-elected mayors and others interested in urban policy need look no further than *The Entrepreneurial City* to learn what America's new breed of innovative mayors have done in recent years to improve the quality of life in their cities. *The Entrepreneurial City* includes essays from some of these "supermayors" and other urban policy experts on seven topics: Managing City Finances, Improving Education, Reducing Crime, Cutting Regulation, Increasing Economic Development, Welfare, and Civil Society. These essays list between five and ten successful policies in bullet format, followed by two or three brief paragraphs explaining the policy and why it could work in other cities.

New York's Rudolph Giuliani, Chicago's Richard Daley, Philadelphia's Edward Rendell, Indianapolis's Stephen Goldsmith, San Diego's Susan Golding and Milwaukee's John Norquist are among the mayors contributing essays to this book.

*The Entrepreneurial City* also includes over 20 case studies of successful programs from other cities, names and phone numbers of hundreds of firms helping cities nationwide, and lists of suggested reading on each topic. *The Entrepreneurial City* is a comprehensive guide to successful urban policy, making it an indispensable resource for anyone who cares about the future of the American city.

**Graham, Mary.** *Democracy by Disclosure: The Rise of Technopopulism*. Brookings Institution Press: Washington, DC. 2002.

Since the mid-1980s, Congress and state legislatures have approved scores of new disclosure laws to fight racial discrimination, reduce corruption, and improve services. The most ambitious systems aim to reduce risks in everyday life—risks from toxic pollution, contaminants in drinking water, nutrients in packaged foods, lead paint, workplace hazards, and SUV rollovers. Unlike traditional government warnings, they require corporations and other organizations to produce standardized factual information at regular intervals about risks they create. Legislated transparency has become a mainstream instrument of social policy.

Mary Graham argues that these requirements represent a remarkable pol-

icy innovation. Enhanced by computers and the Internet, they are creating a new techno-populism—an optimistic conviction that information itself can improve the lives of ordinary citizens and encourage hospitals, manufacturers, food processors, banks, airlines, and other organizations to further public priorities. Drawing on detailed profiles of disclosure systems for toxic releases, nutritional labeling, and medical errors, Graham explains why the move toward greater transparency has flourished during a time of regulatory retrenchment and why corporations have often supported these massive raids on proprietary information.

However, *Democracy by Disclosure* sounds a cautionary note. Just as systems of financial disclosure have come under new scrutiny in the wake of Enron's collapse, systems of social disclosure deserve careful examination. Behind the seemingly simple idea of transparency, political battles rage over protecting trade secrets, minimizing regulatory burdens, and guarding national security. Like other forms of regulation, disclosure systems can be distorted by narrow scope, flawed metrics, minimal enforcement, or failure to adapt to changing markets and public priorities. Graham urges designers of future systems to heed lessons from early experience to avoid misleading the public.

**Grindle, Merilee S.** *Going Local: Decentralization, Democratization, and the Promise of Good Governance*. Princeton University Press: Princeton, NJ. April 2007.

Many developing countries have a history of highly centralized governments. Since the late 1980s, a large number of these governments have introduced decentralization to increase democracy and improve services, especially in small communities far from capital cities. In *Going Local*, an unprecedented study of the effects of decentralization on thirty Mexican municipalities, Merilee Grindle describes how local governments respond when they are assigned new responsibilities and resources under decentralization policies. She explains why decentralization leads to better local governments in some cases—and why it fails to in others.

Combining quantitative and qualitative methods, Grindle examines data based on a random sample of Mexican municipalities—and ventures into town halls to follow public officials as they seek to manage a variety of tasks amid conflicting pressures and new expectations. Decentralization, she discovers, is a double-edged sword. While it allows public leaders to make significant reforms quickly, institutional weaknesses undermine the durability of change, and legacies of the past continue to affect how public problems are addressed. Citizens participate, but they are more successful at extracting resources from government than in holding local officials and agencies accountable for their actions. The benefits of decentralization regularly predicted by economists, political scientists, and management specialists are not inevitable, she argues. Rather, they are strongly influenced by the quality of local leadership and politics.

**Henton, Douglas, John Melville, and Kim Walesh.** *Civic Revolutionaries: Igniting the Passion for Change in America's Communities*. Jossey-Bass: San Francisco, CA. 2003.

*Civic Revolutionaries* offers a practical guide for renewing the great American tradition of spirited, breakthrough community leadership. By their very nature, revolutionary leaders help their communities reconcile the competing values on which our nation was built: individualism and community, freedom and responsibility, trust and accountability, economy and society. Like the Founders, today's civic revolutionaries are extraordinary leaders who are deeply committed to place, not just to specific issues or constituencies. They provide the vital spark, inspiring others who must ultimately own the revolution if it is to be successful. Written for leaders in business, government, education, and community, *Civic Revolutionaries* features practical guidance and in-depth case studies from communities across the country. The book provides tested advice to both new and seasoned leaders and draws essential lessons from the American revolutionary tradition to demonstrate how to become an effective leader within the community.

**Kamarck, Elaine.** *The End of Government As We Know It: Making Public Policy Work*. Boulder, Colorado: Lynne Rienner Publishers, 2007.

In the coming century we will look to government to fight a war on terror, deal with the potentially powerful emergent economies of China and India, fund the enormous retirement and health care costs of an aging population, and cope with a myriad of unanticipated crises, many of which will be natural. It goes without saying that this will cost a great deal of money. But of equal, if not greater, import is the fact that this will require a government more flexible, more creative, and more able to cope with uncertainty than the government of the twentieth century.

This book is dedicated to the topic of policy implementation in this new century. It is book about the business of government that goes beyond the ends to grapple with the means of government. The book transcends the tired politics of the left and the right, presenting a new way of governing—one that is more modern, more flexible, and less bureaucratic. It shows how, by looking beyond the bureaucratic option, we can increase the capacity and effectiveness of government in the twenty-first century.

**Kelman, Steven.** *Unleashing Change: A Study of Organizational Renewal in Government*. Washington, D.C: Brookings Institution Press, 2005.

This is a hopeful account of the potential for organizational change and improvement within government. Despite the mantra that people resist change, it is possible to effect meaningful reform in a large bureaucracy. In *Unleashing Change*, public management expert Steven Kelman presents a blueprint for accomplishing such improvements, based on his experience orchestrating procurement reform in

the 1990s. Kelman focuses on making change happen on the front lines, not just getting it announced by senior policymakers. He argues that frequently there will be a constituency for change within government organizations. The role for leaders is not to force change on the unwilling but to unleash the willing, and to persist long enough for the change to become institutionalized.

Drawing on the author's own personal experience and extensive research among frontline civil servants, as well as literature in organization theory and psychology, *Unleashing Change* presents an approach for improving agency performance from soup to nuts mixing theory with practice. Its analysis is innovative and empirically rich. Kelman's conclusions challenge conventional notions about achieving reform in large organizations and mark a major advance in theories of organizational change. His lessons will be of interest not only to scholars interested in improving the performance of the public sector, but for anyone struggling to manage a large organization. Steve Kelman's creative research, augmented by his own considerable experience as a reform-minded federal official, gives this book unusual depth and authenticity.

**Levitt, James N.** *Conservation in the Internet Age: Threats and Opportunities*. Island Press: Washington, DC. 2002.

The Internet and advanced logistics networks are enabling vast changes on the physical and social landscape, helping to generate both positive and negative impacts on our efforts to conserve land and biodiversity. Unfortunately, new networks appear to be powerful enablers of decentralization, facilitating sprawling development into previously remote areas. At the same time, emerging technologies have led to tremendous innovations in conservation science and resource management, as well as education and advocacy efforts.

*Conservation in the Internet Age* offers fresh and valuable perspectives regarding the linkages among trends in land use, technology, and conservation, and highlights a set of novel and complex challenges facing the land and biodiversity conservation community in the decades ahead.

**Levitt, James N.** *From Walden to Wall Street: Frontiers of Conservation Finance*. Island Press: Washington, D.C. 2005.

In the absence of innovation in the field of conservation finance, a daunting funding gap faces conservationists aiming to protect America's system of landscapes that provide sustainable resources, water, wildlife habitat, and recreational amenities. Experts estimate that the average annual funding gap will be between \$1.9 billion and \$7.7 billion over the next 40 years. Can the conservation community come up with new methods for financing that will fill this enormous gap? Which human and financial resources will allow us to fund critical land conservation needs?

From *Walden to Wall Street* brings together the experience of more than a dozen pioneering conservation finance practitioners to address these crucial issues. Contributors present groundbreaking ideas including mainstreaming environmental markets; government ballot measures for land conservations; convertible tax-exempt financing; and private equity markets.

The creativity and insight of *From Walden to Wall Street* offers considerable hope that, even in this era of widespread financial constraints, the American conservation community's financial resources may potentially grow dramatically in both quantity and quality in the decades to come.

**Linden, Russell M.** *Working Across Boundaries: Making Collaboration Work in Government and Nonprofit Organizations*. Jossey-Bass: San Francisco. 2002.

*Working Across Boundaries* is a practical guide for nonprofit and government professionals who want to learn the techniques and strategies of successful collaboration. Written by Russell M. Linden, one of the most widely recognized experts in organizational change, this no nonsense book shows how to make collaboration work in the real world. It offers practitioners a framework for developing collaborative relationships and shows them how to adopt strategies that have proven to be successful with a wide range of organizations. Filled with in-depth case studies—including a particularly challenging case in which police officers and social workers overcome the inherent differences in their cultures to help abused children—the book clearly shows how organizations have dealt with the hard issues of collaboration. *Working Across Boundaries* includes: information on how to select potential partners, guidelines for determining what kinds of projects lend themselves to collaboration and which do not; suggestions on how to avoid common pitfalls of collaboration; strategies proven to work consistently; the phases most collaborative projects go through; and the nature of collaborative leadership.

**Nye Jr., Joseph S., Philip D. Zelikow, David C. King, eds.** *Why People Don't Trust Government*. Harvard University Press: Cambridge, MA. 1997.

Confidence in American government has been declining for three decades. Three-quarters of Americans said they trusted the Federal government to do the right thing in 1964. Today, only a quarter do. Why the decline? Is this mistrust a healthy reflection of America's long-lasting skepticism of a strong state? Is mistrust a problem for the future of governance?

Bringing together essays by leading Harvard scholars, this book explores the roots of mistrust. It first examines government's current scope, its actual performance, and citizens' perceptions of its performance. It then assesses many possible explanations that have been offered for the decline of trust, including the end of the Cold War, elevated expectations following World War II, a weakened economy, the effects of globalization, resentment over political scandals, and incompetence of

bureaucrats. The book clarifies thinking about the sources of public disaffection.

Mistrust, the contributors find, is largely unrelated to national economic conditions, to challenges of a global economy, to the Cold War, or to bumbling bureaucrats and venal politicians. Rather, they show that the most likely culprits are all around us—an interacting blend of cultural and political conflicts stirred by an increasingly corrosive news media. Includes the following essays:

Ernest May, "The Evolving Scope of Government"

Derek Bok, "Measuring the Performance of Government"

Gary Orren, "Fall from Grace: The Public's Loss of Faith in Government"

Robert Lawrence, "Is It Really the Economy, Stupid?"

Jane Mansbridge, "Social and Cultural Causes of Dissatisfaction with US Government"

David King, "The Polarization of American Parties and Mistrust of Government"

Richard Neustadt, "The Politics of Mistrust"

Ronald Inglehart, "Postmaterialist Values and the Erosion of Institutional Authority"

Susan Pharr, "Public Trust and Democracy in Japan"

Joseph Nye Jr. and Philip Zelikow, "Conclusion: Reflections, Conjectures, and Puzzles"

**Osborne, David and Peter Plastrik.** *The Reinventor's Fieldbook*. Jossey-Bass: San Francisco, CA. 2000.

Presenting more than 70 tools, *The Reinventor's Fieldbook* includes hundreds of practical "lessons learned," "do's and don'ts," "steps to take," and "pitfalls to avoid" in public management and governance. Based on dozens of case studies from five countries, it covers the waterfront of high-performance public organizations, including: customer choice and customer service standards; performance measurement, performance management, and performance budgeting; employee empowerment and labor-management partnerships; managed competition and asset privatization; partnerships with communities; cultural change strategies; and administrative system reform.

**Osborne, David and Ted Gaebler.** *Reinventing Government: How the Entrepreneurial Spirit is Transforming the Public Sector*. Plume: Reading, MA. 1992.

*Reinventing Government* details the most revolutionary idea of our time—an idea whose time has come. Its authors give proof positive that government does not have to be a gigantic and inefficient bureaucracy. Instead, it can govern in the true sense of the word, by tapping the tremendous power of the entrepreneurial process and the force of the free market. In case after case, the authors show how this approach already has proven its worth all over the country—in schools, in

slums, in sanitation, in a host of other areas where enterprising and innovative public officials have delivered a far bigger public service bang for every budgeted buck. To cut taxes and improve services at the same time may seem too good to be true. Yet now we have in our hands a way to make it come true—if we and politicians of all parties and persuasions read it and use it.

**Popvich, Mark G. ed.** *Creating High-Performance Government Organizations*. Jossey-Bass: San Francisco, CA. 1998.

*Creating High-Performance Government Organizations* presents practical advice and tools that managers and innovators at every level of government can use in molding their organizations into results-oriented, mission-driven operations. Developed by a top-notch writing team under the auspices of the Alliance for Redesigning Government, these recommendations are rooted in the author's years of experience in the public and private sectors, and in thorough research into the theory and practice of organizational transformation. Most importantly, the authors draw on the real-world experience of front-line innovators and on ideas that were field-tested through the team's work with an array of public agencies.

The more than three dozen cases presented here will help you understand what high-performance organizations are and develop a clearer understanding of the preconditions to major change, the steps essential to getting started, and ways to overcome common roadblocks. This book details the eight characteristics common to high-performance agencies, illustrating each with concrete examples. And chapters on budgeting, human resources, and procurement systems show you how these critical central management functions can be strengthened to support change, performance, and accountability.

**Rogers, Everett.** *Diffusion of Innovations*. Free Press: New York, NY. 2003.

Now in its fifth edition, *Diffusion of Innovations* is a classic work on the spread of new ideas. It has sold 30,000 copies in each edition and will continue to reach a huge academic audience. In this renowned book, Everett M. Rogers, professor and chair of the Department of Communication & Journalism at the University of New Mexico, explains how new ideas spread via communication channels over time. Such innovations are initially perceived as uncertain and even risky. To overcome this uncertainty, most people seek out others like themselves who have already adopted the new idea. Thus the diffusion process consists of a few individuals who first adopt an innovation, then spread the word among their circle of acquaintances—a process which typically takes months or years. But there are exceptions: use of the Internet in the 1990s, for example, may have spread more rapidly than any other innovation in the history of humankind. Furthermore, the Internet is changing the very nature of diffusion by decreasing the importance of physical distance between people. The fifth edition addresses the spread of the

Internet, and how it has transformed the way human beings communicate and adopt new ideas.

**Schorr, Lisbeth B.** *Common Purpose: Strengthening Families and Neighborhoods to Rebuild America*. Anchor: New York, NY. 1997.

Since the publication of her 1988 book *Within Our Reach*, renowned social analyst Lisbeth Schorr has questioned why the pilot social programs that succeed in helping disadvantaged children and families toward better lives are so rarely sustained or expanded. In *Common Purpose*, she answers that question with a probing analysis showing how our education, welfare, and family support systems have failed to adapt to today's imperatives. She goes on to tell the inspiring stories of pioneers who have been able to sustain and expand small successes with bold departures in taming bureaucracies, in replicating what works, in creating environments that are hospitable to effective programs, and in giving teachers, counselors, and others on the front lines the flexibility they need to do their jobs. The compelling evidence synthesized in *Common Purpose* provides the basis for an agenda around which the public, private, and philanthropic sectors can mobilize to rebuild the inner city, reverse the growth of an American underclass, and restore trust in our major institutions. Includes a forward by William Julius Wilson.

**Sparrow, Malcolm.** *The Regulatory Craft*. Brookings Institution: Washington, DC. 2000.

*The Regulatory Craft* tackles one of the most pressing public policy issues of our time—the reform of regulatory and enforcement practice. Malcolm K. Sparrow shows how the vogue prescriptions for reform (centered on concepts of customer service and process improvement) fail to take account of the distinctive character of regulatory responsibilities—which involve the delivery of obligations rather than just services. In order to construct more balanced prescriptions for reform, Sparrow invites us to reconsider the central purpose of social regulation—the abatement or control of risks to society. He recounts the experiences of pioneering agencies that have confronted the risk-control challenge directly, developing operational capacities for specifying risk-concentrations, problem areas, or patterns of noncompliance, and then designing interventions tailored to each problem. At the heart of a new regulatory craftsmanship, according to Sparrow, lies the central notion, “pick important problems and fix them.” This beguilingly simple idea turns out to present enormously complex implementation challenges and carries with it profound consequences for the way regulators organize their work, manage their discretion, and report their performance. Although the book is primarily aimed at regulatory and law-enforcement practitioners, it will also be invaluable for legislators, overseers, and others who care about the nature and quality of regulatory practice, and who want to know what kind of performance to demand from regula-

tors and how it might be delivered. It stresses the enormous benefit to society that might accrue from development of the risk-control art as a core professional skill for regulators.

**Weisburd, David and Anthony A. Braga.** *Police Innovation: Contrasting Perspectives*. Cambridge University Press: New York, NY. 2006.

Over the last three decades American policing has gone through a period of significant change and innovation. In what is a relatively short historical time frame the police began to reconsider their fundamental mission, the nature of the core strategies of policing, and the character of their relationships with the communities that they serve. This volume brings together leading police scholars to examine eight major innovations, which emerged during this period. Including advocates and critics of the innovations, this comprehensive book assesses the impacts of police innovation on crime and public safety.

## OCCASIONAL PAPERS

These papers can be downloaded from the Government Innovators Network:  
<http://www.innovations.harvard.edu/>

### **Public Innovation and Political Incentives** 01-97

*Altshuler, Alan A.*

American policy elites and the general public are deeply ambivalent about the desirability of bureaucratic innovation in the public sector. Yet there is broad agreement on the need to improve government performance. It is hard to imagine how that can be achieved without both encouraging public servants at all levels to take responsibility for performance and giving them some leeway to pursue it. In turn, it is difficult to imagine how incentives can be altered to encourage such innovation unless elected officials first become convinced that it is compatible with their own political interests.

### **Renewing Democracy Public Address: Why Government Must Reinvest in Civic Renewal** 03-04

*Blunkett, David*

Transcript of a public event organized at Harvard Kennedy School, with, as a guest speaker, the Right Honorable David Blunkett, Home Secretary and one of Britain's best known and most influential politicians. David Blunkett argues in particular that "we need to use government to reinforce a sense of identity and belonging, but we also need to ensure that we reinforce it by recognizing what it is that gives people that stake."

### **Assessing Reinvention as a Major Reform: A Conversation** 03-98

*Donahue, John D., Donald Kettl, Elaine Kamarck, Steven Kelman*

Transcript of a roundtable discussion which occurred at Harvard Kennedy School on the topic of federal government reinvention.

The discussion was moderated by Professor Alan Altshuler, director of the Innovations In American Government Program at the Kennedy School. The preliminary remarks are by Donald F. Kettl, Director of the LaFollette Institute of Public Affairs at the University of Wisconsin-Madison and Director of the Center for Public Management at the Brookings Institution. The respondents are three members of

the Kennedy School faculty who played key roles in the Clinton Administration's reinvention efforts: Elaine Kamarck, John C. Donahue, and Steven Kelman.

### **Dynamics of Diffusion: Conceptions of American Federalism and Public-Sector Innovation** 02-06

*Donahue, John D.*

Governments can and do innovate. Governments refine their strategies and their tactics, develop new solutions to old problems, and find ways to recognize and meet previously latent needs. This is unsurprising, since governments are assemblages of human beings, and humans are inclined to improvise. That said, the manner in which people are organized shapes and constrains their propensity to innovate, and those organizational forms we call “government” tend to share a set of distinctive features. They are formally structured, entrusted with missions that are multiple or complex or both and subject to judgment on many criteria by multiple interests. These features affect the pace and pattern of governmental innovation in characteristic ways.

Governmental innovation is worthy of attention both because it is difficult and because it is valuable. Precisely because organizations touch the interests of so many—and because they tend to be entrusted with particularly vital tasks—a governmental innovation that permits new needs to be met, or old needs to be met more cheaply or more precisely or more flexibly, can produce an increment of value far outpacing the gains obtainable through analogous improvements in many corporate environments. Sluggish or distorted governmental innovation, similarly, implies a correspondingly large surrender of potential benefit. Scholars and practitioners are well aware of this, of course, which explains both the frequency with which idealistic public managers struggle to effect change despite the obstacles, and enduring academic interest in strategies for lowering the barriers to innovation within the public sector.

### **Jamming in the Symphony** 04-01

*Donahue, John D.*

In this document, the introductory chapter to *Making Washington Work: Tales of Innovation in the Federal Government*, Donahue acknowledges the fact that the culture of the federal government includes an institutionalized bias toward continuity at the expense of change.

His paper offers insights that heighten awareness of, and appreciation for, successful federal innovations that confront this bias. It provides a framework for exploring the complexities of innovation within large and long-established bureaucracies, and it addresses such issues as scale, accountability, competition, pressure, and leadership.

### **Overcoming Obstacles to Technology-Enabled Transformation** 05-03

*Eggers, William*

Through the example of the General Service Administration's (GSA), Eggers presents an analysis of how technology-enabled transformation entails breaking old habits, learning to do business in new ways, and adopting a radically different approach to serving your customers.

Since nearly all the incentives in government work against all of these things, strong leadership is indispensable to achieving fundamental change in government.

### **The Political Economy of Transparency: What Makes Disclosure Policies Effective?** 03-04

*Fagotto, Elena, Archon Fung, Mary Graham, David Weil*

Transparency systems have emerged in recent years as a mainstream regulatory tool, an important development in social policy. Transparency systems, as we define them, are government mandates that require corporations or other organizations to provide the public with factual information about their products and practices. Disclosed information is structured for comparability and updated at regular intervals. Transparency systems always have regulatory purposes and such purposes vary widely. Systems have been designed to protect investors, improve public health and safety, reduce pollution, minimize corruption, and improve public services.

### **The Effect of Government Funding on Nonprofit Administrative Efficiency: An Empirical Test** 10-02

*Frumkin, Peter, Mark T. Kim*

This article draws on a large longitudinal dataset of nonprofit organizations in order to shed light on the consequences of government funding on nonprofit administrative efficiency. The goal is to gain a more grounded understanding of the link between public funding and nonprofit efficiency. The article proceeds in three steps. First, it surveys the literature on the nature of public funding and its impact on the administrative efficiency of nonprofits. Second, it presents the data and analyzes the impact of public funding on a group of nonprofit organizations over an 11-year period. Third, it interprets the results and explores the implications of the findings for future research on public-nonprofit relations.

### **Service Contracting with Nonprofit and For-Profit Providers: On Preserving a Mixed Organizational Ecology** 04-02

*Frumkin, Peter*

In the first section, differences in the operational and cultural characteristics of for profit and nonprofit organizations are detailed with an eye to highlighting why many believe business firms have certain important advantages over nonprofits when it comes to competing for large human service contracts. The second sec-

tion explores why public managers may need to structure service contracts in a way that not only maximizes short-term results, but that also affirms the importance of preserving a mixed organizational ecology. In a third and concluding section, some thoughts are offered on policy remedies that might supplement a more nuanced managerial approach to service contracting with nonprofit and for-profit providers.

### **The Political Economy of Transparency: What Makes Disclosure Policies Sustainable?** 02-03

*Fung, Archon, Mary Graham, David Weil*

This paper explores the dynamics of transparency. It asks why some government-created systems improve over time while others stagnate or degenerate into costly paperwork exercises. As products of the political process, transparency policies inevitably begin as unlikely compromises. Though transparency is universally admired in principle, its particular applications frequently conflict with other societal values or powerful political interests. At the same time, the benefits of disclosure are often diffuse.

### **Emergence and Sustainability of the Innovation Process of Mexico's Local Governments** 08-05

*Garcia, Gilberto*

After analyzing 271 government programs qualified as innovative through having won the national Government and Local Management award in Mexico, and submitting a questionnaire to the 79 persons responsible for some of the best practices in the municipal government in the years 2001, 2002, and 2003, this paper identifies and analyzes variables that have a bearing on the emergence and sustainability of the innovation process in Mexico's local governments. Innovation is understood here as the first time application of a program, practice, process or proceeding in an organization, regardless of whether it has been implemented before in some other organization.

The results show paradoxes in the process of innovation of organizations needing to accomplish increasingly complex objectives through a lack of mechanisms to accrue intermediate and long-term technical expertise, as well as organizational learning. This document also describes the differences in the process of innovation according to three contextual variables: organization capability, institutional development, and political and electoral competition.

### **Information as Risk Regulation: Lessons from Experience** 10-01

*Graham, Mary*

Since the mid-1980s a wide variety of federal and state laws in the United States have employed structured disclosure of factual information as a means of reducing risks to public health, safety or the environment. These disclosure systems

aim to create new economic or political incentives for organizations to improve their products or practices.

In effect, they harness the government's enduring authority to command the disclosure of previously private information to create a form of risk regulation. In the past, each of these disclosure systems has been viewed as unique. Each has been separately conceived as a novel response to a pressing problem. No central plan has informed their architecture or increasing popularity.

Evidence from four such systems suggests, however, that they represent a cohesive innovation in public policy. They share core characteristics and common roots, display similar strengths and produce similar kinds of conflicts among widely shared values. As some approach maturity, it is also becoming clear that they share common problems. Political compromises can cripple effective design. Primitive metrics can distort incentives. Mismatches between the scope of requirements and the dimensions of risk can create unintended consequences. Adaptation to changes in technology or markets can be problematic. And communication problems can result in public confusion rather than enlightenment. Policy makers face challenges to learn from early experience in using this promising tool of risk regulation effectively in the future.

### **Learning from Green Grassroots Innovators: How Does a Tail Wag the Dog?** 10-03

*Gupta, Anil*

This is an analysis of small grassroots innovations in India, underlying how small innovations can make a big difference.

When the Honey Bee Network was started about fourteen years ago, most innovators in three fields of technology, primary education, and common property institutions were poorly networked among themselves, though they were networked reasonably well within their communities. High degrees of fortitude, stubbornness and to an extent, tendency to go alone are quite common and pronounced traits among the innovators. They are difficult to influence and even more difficult to convince about the need to network with others of their kind. It is against this context that the evolution of the Honey Bee Network and its influence on public policy, institutions and structures must be seen.

### **Strategies for Scale: Learning from Two Educational Innovations** 06-00

*Hassel, Bryan C., Lucy Steiner*

The authors of the paper examine two intriguing programs: Success for All and the Accelerated Schools Program, each of which has been adopted by more than 1,000 schools nationwide. The hypothesis is that given the relative success of these programs at scaling up, focusing some attention on the strategies that their promoters have used in taking them to scale might prove informative and useful for

subsequent efforts to scale up good practice.

### **Engaging Frontline Employees in Organizational Renewal 02-97**

*Howitt, Arnold*

This article examines how three public programs engage their frontline employees in organizational change.

Three “Innovation Awards” winners cases are studies: the In-House Research and Development Network of the New York City Sanitation Department, the Competition and Costing program of the City of Indianapolis, and the City Work program of the City of Louisville.

### **The Political Paradox of Rationing: The Case of the Oregon Health Plan 05-98**

*Jacobs, Lawrence R., Theodore Marmor, Jonathan Oberlander*

Between 1989 and 1995, a series of laws was enacted in that included the establishment of state-run insurance pools, insurance reforms, and a federal waiver for Medicaid expansion. Collectively, these reforms are known as the Oregon Health Plan. In 1995, the Oregon Health Plan was awarded one of ten Innovations in American Government Awards for creatively and successfully expanding health care coverage in the state that included the establishment of state-run insurance pools, insurance reforms, and a federal waiver for Medicaid expansion. Collectively, these reforms are known as the Oregon Health Plan. In 1995, the Oregon Health Plan was awarded one of ten Innovations in American Government Awards for creatively and successfully expanding health care coverage in the state. The articles re-evaluates the OHP status as a health policy innovation and analyzes its overlooked political dynamics. It argues that the plan does indeed represent a significant innovation in American health policy, but that the nature of its innovation has been widely misinterpreted.

### **Government Innovation Around the World 01-04**

*Kamarck, Elaine*

This is a review of government innovations undertaken in the last twenty years in many countries around the world (including the United States).

For some countries government reform and innovation involves the reform of an old bureaucracy in the context of a newly democratic state. For other countries this entails an all out fight against corruption. For still other countries the challenge is to modernize large, outmoded bureaucracies and bring them into the information age.

While countries have come to government reform for very different reasons, government reform and innovation is a global phenomenon. In some countries this movement has been called reinventing government; in other countries it is referred to as building state capacity or modernization of the state and in still other

countries this is named the New Public Management.

### **Central Government and Frontline Performance Improvement: The Case of “Targets” in the United Kingdom 10-06**

*Kelman, Steven*

During the past several years the most aggressive effort in the history of government has been made in the United Kingdom to use an innovative public management tool—the use of performance metrics and performance goals in the management of public sector organizations—both to improve the performance of public-sector organizations and also to recast some of the terms of democratic deliberation in the UK. As a pioneer in this innovation, the UK example may provide lessons for other governments as they seek to further implement this innovation. Professor Kelman’s research, largely focusing on interviews with managers within UK government, seeks to discover how UK central government institutions have gone about trying to influence the performance of frontline organizations that must actually meet these targets. A special emphasis is on change and intra-governmental learning over time, as well as an exploration of evolving relationships between the central government (especially the newly established Prime Minister’s Delivery Unit) and individual departments.

### **Changing Big Government Organizations: Easier than Meets the Eye? 05-04**

*Kelman, Steven*

The need for government organizations to change how they work is a major theme among practitioners and observers of government, discussed informally and repeated constantly at conferences for practitioners. The need for organizational change is also a preoccupying theme in the business world. But the impetus for change in government is somewhat different. In the private sector, the assumption is that the organization’s current performance is good, but that shifts in the organization’s environment demands changes in what the organization produces or how it produces it. In government, by contrast, the impetus for organizational change is typically that current performance isn’t what it should be. Government isn’t working as well as it should, and organizational change is needed to improve performance.

### **Implementing Federal Procurement Reform 04-98**

*Kelman, Steven*

The effort to reinvent the federal procurement system is widely regarded by outside observers as having undergone significant reform.

The paper presents an account of successful innovation in government procurement (the way the federal government buys goods and services from the private sector for government use) initiated and pursued by the White House during

the Clinton Administration.

Steven Kelman is a Professor of Public Management at Harvard Kennedy School. From 1993 to 1997, he was administrator at the Office of Federal Procurement Policy at the U.S. Office of Management and Budget. One of the more promising trends in government reform, which we have seen in applications to the Innovations in American Government program, and which is occurring across all levels of government, has to do with new practices in procurement. In his position, Professor Kelman played key roles in federal reforms that have occurred in the past five years.

### **Conservation Innovation in America: Past, Present, and Future** 02-03

*Levitt, James N.*

Observers throughout the course of U.S. history, including such prominent commentators as Alexis de Tocqueville in his classic volume *Democracy in America*, have dismissed Americans' willingness to appreciate or conserve nature. In fact, American women and men have a long and distinguished record of realizing landmark conservation innovations that are: novel on a worldwide basis; politically significant; measurably effective; transferable to separate organizations, jurisdictions, and nations; and, particularly significant in the field of conservation, enduring.

This paper reviews conservation innovations in the United States, and starts with the observation that among the many important conservation innovations that Americans have achieved, only a distinct subset of them has had an enduring impact and so can be considered landmark innovations. Twenty-first century conservationists are challenged to bring forth a new generation of landmark innovations commensurate with the considerable threats to open space and biodiversity that we now face.

### **Understanding Innovation: What Inspires It? What Makes It Successful?** 12-01

*Walters, Jonathan*

Public sector innovation may be considered an oxymoron, but for 15 years the Ford Foundation and Harvard Kennedy School have been identifying innovative public sector programs at the state, local, federal, and tribal government levels through the Innovations in American Government Awards program, funded by Ford and administered by the Kennedy School. What the initiatives identified through the program tell us is that despite government's well-deserved reputation for being unfriendly to new ideas and change, government has actually proved to be remarkably—even resiliently—innovative.

But where does innovation come from? What drives people to innovate? And in a political world where program survival is often a matter of having the right political patrons—rather than program results—what characteristics make for sustainable, replicable, results-based innovation?

## **WORKING PAPERS, SCHOLARLY ARTICLES, AND CONFERENCE PAPERS**

The following papers on the study of government innovation are available at the Ash Institute for Democratic Governance and Innovation, 79 JFK St., Cambridge, MA 02138, 617-495-0557.

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**Applbaum, Arthur.** "Forcing a People to Be Free," *Philosophy & Public Affairs* 34:4 (Fall 2007), pp. 359–400.

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**Fung, Archon, Elenal Fagotto, Mary Graham, and David Weil.** “The Effectiveness of Regulatory Disclosure.” *Journal of Policy Analysis and Management* 26:1 (2006): 155–181.

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## CASE STUDIES

### TEACHING CASES

These case studies, developed by the Harvard Kennedy School Case Program, describe innovations in the United States and beyond. These cases are prepared for use in classroom discussion, and are useful tools in learning about experiments in innovation at the practitioner level. All cases can be purchased at the HKS Case Program site: <http://www.ksgcase.harvard.edu/>

### INNOVATIONS WINNERS

The following cases draw from the winners and finalists of the Innovations in American Government Awards Program. They are categorized according to HKS Case Program keywords. Additional information and resources on these and all of Innovations in American Government winners and finalists can be found on the Government Innovators Network: <http://www.innovations.harvard.edu/>

### ADAPTING NEW TECHNOLOGY

#### **Community Voice Mail; City of Seattle, WA; 1993 Winner, 1992 Semifinalist**<sup>2</sup>

The staff of a Seattle non-profit employment and training agency comes to a sudden realization in late 1990: the homeless with whom they deal are handicapped not only by a lack of a permanent residence but their lack of a phone. They lack the means to receive calls, schedule interviews and, ultimately, obtain employment. The insight leads the Seattle Worker Center to seek state and, over time, private funds which permit it to set up a successful “community voice mail” system, through which the “phoneless” can store and send messages. The case is designed for students of social policy and allows for examination of those factors which led outside funders and, ultimately, the community at large, to embrace the voice mail idea. Additional description of an attempt to replicate the program in Minnesota portrays a less immediately hospitable situation which a non-profit leader must negotiate.

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<sup>2</sup> All case descriptions are from the Harvard Kennedy School Case Program website: <http://www.ksgcase.harvard.edu/>

### HKS Case References

**C16-93-1228.0 Community Voice Mail for the “Phoneless”: Starting Up in Seattle and Minnesota**

**C16-93-1228.1 Community Voice Mail for the “Phoneless” (Sequel/ Epilogue)**

### **CompStat; City of New York, NY; 1996 Winner**

The dramatic reduction in crime in New York City during the 1990s grabbed the attention of the U.S. and the world, seeming to provide evidence that new policy and management approaches could make an enormous difference for the better. This case tells the story of key management decisions that the New York Police Department itself credits with the successful attack on the city’s crime rate. Specifically, it describes the approach of Police Chief William Bratton in assembling a core, reform-oriented management team and the development of a computerized crime tracking system used as the foundation for the targeting of police manpower. The epilogue raises the dramatic question of whether the goal of minimizing the misuse of force by police officers is also amenable to the measurement techniques successfully employed to the activity of criminals. This case, in addition to the questions it raises, provides a powerful telling of one of the most successful public sector management initiatives of recent times.

### HKS Case References

**1530.0 Assertive Policing, Plummeting Crime: The NYPD Takes on Crime in New York City**

**1530.1 Assertive Policing, Plummeting Crime: The NYPD Takes on crime in New York City (Epilogue)**

### **Related Case**

This abridgement is based on the case “Assertive Policing, Plummeting Crime: The NYPD Takes on Crime in New York City” (1530.0). The abridgement of the case divides the story of the change in the New York Police Department into three, roughly chronological parts--the diagnosis of the crime and organizational problems, the development of a new system of practices and incentives and a description of the variety of impacts which the new “assertive policing” regime appeared to have. The three parts (1557.3, 1558.3, 1559.3) and Epilogue (1557.1) can be used individually or together. They should not be used along with the full case and sequel (1530.0, 1530.1) but should, instead, be considered a substitute approach.

### HKS Case References

**1557.3 The NYPD Takes on Crime in New York City (A)**

**1558.3 The NYPD Takes on Crime in New York City (B): CompStat**

**1559.3 The NYPD Takes on Crime in New York City (C): Short-Term Outcomes**

### **Computer Assisted Report Entry; County of St. Louis, MO; 1988 Winner**

This case examines a specific technological innovation and tracks its effect on the procedures of an organization. The Computer Assisted Report Entry (CARE) system adopted by the St. Louis County Police Department is designed to replace what is viewed as a cumbersome, if vital, procedure: the filing of written reports by individual police officers involved in responses to calls and in arrests. CARE replaces what the department believes to be an inefficient system of written reports with a system of telephone reporting. Although viewed positively in the text, the case also invites scrutiny of the long-term, perhaps unforeseen, consequences of such a technological change.

### HKS Case References

**C16-90-996.0 St. Louis County Police Department**

**C16-90-996.2 St. Louis County Police Department (Teaching Note)**

### **Electronic Benefit System; Ramsey County, MN; 1990 Winner**

When banks in Ramsey County (Saint Paul), Minnesota decide to stop cashing welfare checks, the county faces a crisis. It must continue to provide a way for welfare recipients to receive their benefits. Yet it has exhausted the standard means of doing so. This Innovations in State and Local Government case follows the course of Ramsey County’s decision to adopt a radically different benefits delivery system--the use of an ATM (automatic teller machine) card which will allow welfare recipients to draw down their account at a variety of locations, at their own convenience. Officials in the Community Human Services Department gain acceptance of this idea, however, not because of its innovative quality but because they convince county officials it will provide the service at no increase in cost. This case provides a vehicle for discussion of the nature of public sector innovation and the forces that drive or constrain it. It raises the following question, as well: At a time when information technologies are making everything from mail orders to credit card replacement “user friendly,” will government find ways to adapt these technologies to aid in delivering its services?

### HKS Case References

**C16-91-1038.0 Electronic Benefits System in Ramsey County, Minnesota**

**C16-91-1038.1 Electronic Benefits System in Ramsey County, Minnesota (Sequel/Epilogue)**

### **Info/California; State of California; 1993 Winner, 1992 Semifinalist**

New, computer-based technologies offer the prospect of new ways for government to provide services for citizens. That was the hope of the director of the data center of California’s Health and Welfare Agency when, in 1991, he developed a new interactive “kiosk” that would allow citizens to transact business with the state government without going to a government office. Licenses, permits and answers to

questions could be obtained through a service which director Russell Bohart believed should “go where the people are, as opposed to making everybody come to government.” In introducing the new system, however, Bohart found himself under pressure from state agencies which wanted to interactive technology to be located not at shopping malls and strip centers but in their own offices, as a means of replacing or supplementing employees. Bohart would have to decide which vision of his interactive kiosk was the right one and, if he stuck to his original concept, how to cope with the demands in conflict with it.

#### **HKS Case References**

**1256.0 Introducing Computer-Based Remote Services in California**

**1256.1 Introducing Computer-Based Remote Services in California (Sequel/Epilogue)**

The growth of the kind of new interactive technologies promise to make it more convenient and less expensive for government, like private providers of consumer goods and services, to serve its customers-whether they seek a driver's license or unemployment compensation. Incorporating such technologies implies change, however, and, as this case makes clear, requires decisions about when and how automated transactions should be the norm. The story of the Info/California decision focuses on competing visions of a new, interactive system which promises to allow Californians to obtain records, licenses and program information of all sorts. For its champion within state government, it makes most sense for a scarce number of interactive terminals to be placed in public areas-supermarkets, malls and the like. He must, however, face a demand by a state agency that a terminal be used to make up for laid-off employees in a place where the public has been accustomed to going for records and licenses. Developed for the Kennedy School's Program on Strategic Computing, this case allows for discussion of the relationship between mission and technology.

#### **HKS Case References**

**1204.0 Info/California: Where Do Electronic Government Tellers Belong?**

**1204.1 Info/California: Where Do Electronic Government Tellers Belong? (Epilogue/Sequel)**

#### **Kentucky Video Courts; Commonwealth of Kentucky; 1988 Winner**

When a shortage of court reporters threatens to delay trials and back up the appeals process, Kentucky's Administrative Office of the Courts considers new technology as a solution to its problem. Video “transcripts” of court proceedings hold the potential to sidestep the labor problem plaguing the courts. The use of video cameras to record court proceedings raises questions, however. Would a video record truly provide as useful a product as a written transcript? Would judges-and the courts themselves-accept video as a legal record? Director Don Cetrulo of

the Administrative Office of the Courts, intrigued by the promise of video, must ponder both its implications-and the fact that no proven automatic camera technology existed in the mid-1980s that could adapt to the multiplicity of speakers and locations. Before he can reach the point of considering the legal impact of video court reporting, Cetrulo must decide whether to go so far as to award state funds to a local manufacturer who believes he can devise such a system.

#### **HKS Case References**

**C16-91-1035.0 Court Reporting in Kentucky (A)**

**C16-91-1036.0 Court Reporting in Kentucky (B)**

**C16-91-1037.0 Court Reporting in Kentucky (C)**

**C16-91-1037.1 Court Reporting in Kentucky (Sequel/Epilogue)**

#### **Wetland Wastewater Treatment; City of Arcata, CA; 1987 Winner, 1986 Finalist**

In 1974, the small city of Arcata, California, learned that a new state policy would soon forbid the release of its treated wastewater into Humboldt Bay unless it could prove that the wastewater “enhanced” the bay. That same year the Humboldt Bay Wastewater Authority was formed to devise a federal- and state-funded regional approach to wastewater disposal. By 1976, Arcata realized it had a serious problem on its hands: if the city hooked up to the proposed HBWA treatment plant, sewer bills would double in the near future and would probably continue to climb. Moreover, the huge sewage pipes mapped to run between Arcata and Eureka and under the bay's shipping channels could allow unwanted strip development of the rural area between the cities and might even lead to an ecological disaster. But if Arcata decided to go its own way, it would be subject to a building moratorium and other penalties unless it could overcome the undefined “enhancement” requirement. The case tells the story of Arcata's long political struggle to derail the planned regional sewage treatment plant and force federal and state regulators to accept its own, unconventional local alternative. It raises questions as to how to recognize innovation and the nature of bureaucratic cultures which discourage innovation. It also raises the question of whether community based opposition might be too heavily weighted in the political process.

#### **HKS Case References**

**C19-89-854.0 Wastewater Wars**

**C19-89-854.1 Wastewater Wars (Sequel/Epilogue)**

## **CONSENSUS-BUILDING AND DEMOCRATIC GOVERNANCE**

#### **Early Warning Program; U.S. Department of the Treasury; 1995 Winner**

In this case, the federal entity responsible for both safeguarding and insuring the private pension systems of the United States (Pension Benefit Guaranty Corpora-

tion) must deal with one of the nation's largest and arguably most troubled corporate pension systems—that of the General Motors Corporation. When GM proposes to sell off its Electronic Data Systems subsidiary, regulators at PBGC face a decision. Should they permit the deal to go forward if GM does not address an estimated \$20 billion unfunded pension liability? In considering the question, PBGC must decide the extent, and potential justification, for demonstrating regulatory flexibility. Insisting on the letter of the law might scotch a deal which could lead to a significant contribution to GM's pension liability. Too great a leniency, however—for instance, by allowing the value of GM's own stock to be applied against pension liability—might jeopardize the interests of thousands of retired auto workers. The case is meant both to raise the issue of public sector negotiations flexibility and to facilitate discussion of the dynamics of public-private negotiations.

#### **HKS Case References**

**1385.0 Protecting Pension Benefits: PBGC Meets General Motors (A)**

**1386.0 Protecting Pension Benefits: PBGC Meets General Motors (B)**

#### **Environmental Cleanup Program; City of Wichita, KS; 1992 Winner**

Long-undetected groundwater contamination, discovered in 1990, by the Kansas Department of Health and Environmental Protection, has a potentially catastrophic economic impact on downtown Wichita, Kansas. The four-mile long, one-and-a-half-mile wide site centered at the corners of Gilbert and Mosley Streets lies in the heart of Wichita's central business district. Although it did not provoke health concerns, the newly discovered contamination prompted lenders to cease making any financial commitments in the district. This case focuses on the strategic approach to this crisis taken by Wichita's city manager. Initially faced with two bad alternatives—forcing hundreds of businesses to share in the clean-up cost, or face designation of the area as a federal Superfund site, portending perhaps a decade of legal wrangling—Wichita creates a more palatable way out of the crisis. The case can be useful both for discussions of constituency-building and political strategy, and for discussions of US federalism.

#### **HKS Case References**

**C16-92-1157.0 Wichita Confronts Contamination: Seeking Alternatives to Superfund (A)**

**C16-92-1158.0 Wichita Confronts Contamination: Seeking Alternatives to Superfund (B)**

#### **Racial Integration Incentives; City of Cleveland, OH; 1998 Winner**

Should an Ohio state agency provide low-interest loans to home buyers moving into areas in which they are “racially under-represented”—even if they are whites in affluent suburbs moving into neighborhoods which might otherwise “tip” to become all-black? The Ohio Housing Finance Agency confronts the questions of whether racial

underrepresentation should be defined in percentage terms—and whether racial integration per se represents progress for black homebuyers. The case explores the history of efforts to manage racial integration in suburban Cleveland and highlights competing philosophies regarding the role of government in influencing residential racial patterns. It allows for discussion of ways in which public values evolve through the policymaking process.

#### **HKS Case Reference**

**C16-89-877.0 Integration Incentives in Suburban Cleveland**

#### **Seattle Recycling Program; City of Seattle, WA; 1990 Winner**

The closing of two landfill sites creates a municipal crisis in Seattle, forced to find new disposal options for the 2,000 tons of garbage it produces each day. Political concerns over what appears to be the most practical disposal option—construction of a major municipal incinerator—prompts the city's Solid Waste Utility to undertake an innovative study to examine the extent to which recycling could minimize the city's trash disposal needs. This case broadly examines the “Recycling Potential and Disposal Options” study with an eye toward understanding the relationship between the political process and the techniques of public policy analysis. The case is designed to frame questions as to the proper relationship between policy analyst and elected official, and the ways in which analysis is constrained, properly or improperly, by political considerations.

#### **HKS Case References**

**C16-91-1047.0 Solving Seattle's Solid Waste Crisis**

**C16-91-1047.1 Solving Seattle's Solid Waste Crisis (Sequel/Epilogue)**

#### **Single Room Occupancy Residential Hotel Program; City of San Diego, CA; 1988 Winner**

When the destruction or conversion of single-room occupancy hotels, or SROs, in San Diego's downtown seemed to lead to an increase in homelessness, a private real estate developer argued that he could build profitable new SROs if the city would waive or modify key safety and construction standards. In the ensuing debate over the first such SRO, the Baltic Inn, core public housing issues came to the fore: whether regulation was effective and equitable, whether deregulation would serve the poor, and what minimum quality of life society should demand for even the poorest housing consumers. For a different treatment of this issue, see Housing's Bottom Rung: Single Room Occupancy Hotels in San Diego (C18-95-1293.0 and 1294.0). Housing's Bottom Rung, the abridged version of Building the Baltic (C16-89-928.0), leaves the dilemma of how best to solve the city's housing problems to students, rather than describing the route which San Diego actually pursued, as is done in the original case. It describes the decline in single room occupancy hotels for poor single people and early proposals for a preservation ordi-

nance to halt their demolition. The use of the A case first in class, followed by the handout of B, is meant to prompt the realization that careful and imaginative policy analysis can lead in politically unanticipated directions.

#### **HKS Case Reference**

**C16-89-928.0 Building the Baltic**

## LEADERSHIP

### **Case Management for At-Risk Children in Detention; City of New York, NY; 1986 Winner**

This “Innovations in State and Local Government” case begins in January 1983, when Ellen Schall is appointed commissioner of New York City’s Department of Juvenile Justice, an agency in upheaval. DJJ was established to detain seven- to fifteen-year-old children between arrest and adjudication. Most of DJJ’s charges are held in a 25-year-old secure detention facility called “Spofford,” a notoriously violent and dilapidated facility in the South Bronx. The case describes the situation as Schall walks into it. In addition to internal tensions and significant operational problems in every division, the agency has a history of bad press and feuds with City Hall. The department is also struggling with deep-seated racial and class tensions among employees, and with great confusion over its mission. The case ends with Schall planning to speak to a new group of juvenile counselors, trying to articulate her vision for the agency. The case offers students the chance to diagnose the ills of the agency and to chart a strategic course of action. Among the topics for debate: How should Schall go about assembling an executive team? How should she address the confusion over agency mission? What should she do about racial tensions? How involved should she get with the nitty-gritty operational problems of her agency’s divisions?

#### **HKS Case References**

**C16-87-793.0 Ellen Schall and the Department of Juvenile Justice**

#### ***Related Case***

The latest in a long string of directors of New York City’s toughest juvenile detention facility confronts a staff which is both demoralized and resentful of authority. As the jail’s first black director, she must cope with a predominantly black staff long accustomed to “getting over”—giving less than full effort and rationalizing its attitude in terms of the perceived indifference of a “downtown” white power structure. Battles over child abuse, insubordination and union power ensue.

#### **HKS Case Reference**

**C15-89-875.0 Taking Charge: Rose Washington and Spofford Juvenile Detention Center**

### **Family Learning Center; Ingham County, MI; 1986 Winner**

During the 1978-79 school year, the state of Michigan turned down Jean Ekins’ application for model-site designation of her Leslie, Michigan Family Learning Center. Ekins had started the program four years earlier within the Leslie public school system to provide an appropriate high school setting for teen-aged parents. Designation carried a \$60,000 grant, about twice the center’s current annual budget. Ekins believed the money as well as the designation would have lent legitimacy to the center’s existence, which the conservative community of Leslie frequently questioned on practical and moral grounds. At the time of Ekins’ application, the center provided services to about 20 students, but many more young parents were on the waiting list, denied services because of a lack of funds. It had become clear to Ekins that, without more money, the center would remain a small, relatively ineffective weapon in the fight to provide educational services to Leslie-area school-aged parents. The case describes Ekins’ efforts to establish the program and focuses on the issues confronting the administrator of a small, financially strapped program on the frontiers of service delivery. The case also addresses the question of how best to expand a successful but limited program: how to gauge degrees of support and opposition; how to balance demands for resources; and where and how to look for potential allies.

#### **HKS Case References**

**C16-88-870-870.0 Jean Ekins and the Family Learning Center (A)**

**C16-88-870-871.0 Jean Ekins and the Family Learning Center (B)**

**C16-88-870-871.1 Jean Ekins and the Family Learning Center (Sequel/Epilogue)**

## MEDIA RELATIONS

### **Seattle Recycling Program; City of Seattle, WA; 1990 Winner**

When the Seattle Solid Waste Utility, the department responsible for trash pick-up and disposal, moved during 1988-90 to introduce curbside recycling and other dramatic changes in garbage collection, director Diana Gale believed presentation of the utility’s plans to the press would be crucial to their prospects for public acceptance. This case recounts the elaborate but successful strategies Gale employed, ranging from training sessions for utility employees run by former television news anchors, to the advent of the utility’s own weekly newsletter to track problems and changes in the new garbage program. The case is designed both to allow for discussion of what makes for effective or ineffective relations between the public manager and the press, and to raise questions about the relative motivations of each party. In addition, the case can be used to pose the question of what methods are appropriate for a public agency to use in presenting its program initiatives to the public—and whether it is a necessary or proper use of funds when public agencies

employ public relations and advertising tactics.

#### **HKS Case Reference**

**C16-91-058.0 Please Be Patient: The Seattle Solid Waste Utility Meets the Press**

### **NON-PROFIT MANAGEMENT**

#### **Friends of the Family, Inc.; State of Maryland; 1991 Winner**

It has become standard practice for major social service agencies to contract with non-profit organizations to deliver tax-supported services. In Maryland, however, the state Department of Human Resources went a step further. It believed in the need for a program, statewide, to provide support for low-income parents with children under three. To get such programs going, however, the Department turned to a non-profit group both to establish “family support centers” and administer grants directed to them. This case allows for discussion of the appropriate role of government and the non-profit sector in administering and delivering human service programs.

#### **HKS Case Reference**

**C16-93-221.0 Friends of the Family: Public/Private/Community Broker**

#### **Low-Income Assisted Mortgage Program; State of West Virginia; 1993 Winner**

When a local chapter of the Habitat for Humanity organization learns that a state-chartered development fund might be able to provide it with financial help, the non-profit organization faces a decision. Should it accept funds from a public agency? Would doing so jeopardize its independence and push the organization in directions it might not want to go? So, too, does the Development Fund face decisions as it contemplates aiding the non-profit, which builds small homes for the near-poor, in part through the use of volunteer labor. Should Habitat’s religious affiliation bar the Fund from helping it? Should Habitat be allowed to retain control over who gets to purchase the homes it builds? This case focuses on the intersection of the public and non-profit sectors and raises questions about when they should or shouldn’t overlap.

#### **HKS Case References**

**C16-94-1243.0 Mountaineer Habitat for Humanity and the West Virginia Housing Development Fund: The Prospect of Partnership**

**C16-94-1243.1 Mountaineer Habitat for Humanity and the West Virginia Housing Development Fund: The Prospect of Partnership (Sequel/Epilogue)**

#### **Monroe Maternity Center, Inc.; Monroe County, TN; 1991 Winner**

The combination of East Tennessee poverty and a lack of obstetrical facilities in Monroe County lead a US public health officer, Dr. Barbara Levin, to seek different

ways to provide prenatal and delivery services to women of the county. This case tells the story of the slow but successful effort to use nurses and midwives to staff a free-standing “maternity center” which ultimately led to the maternity center delivering fully a quarter of all the county’s babies. It examines the strategies which Levin employed to build local support, overcome opposition in the medical profession and build a customer base. In addition, it frames a strategic question of whether and how Levin should attempt to transplant her idea to a far different region of the state.

#### **HKS Case References**

**C16-93-218.0 Reproducing an Innovation in Tennessee: Dr. Barbara Levin and the Monroe Maternity Center, Inc.**

**C16-93-1218.1 Reproducing an Innovation in Tennessee: Dr. Barbara Levin and the Monroe Maternity Center, Inc. (Sequel/Epilogue)**

#### **Parents as Teachers; State of Missouri; 1987 Winner**

In the early 1980s, Missouri’s director of early childhood education launched a novel parent education pilot project designed to increase children’s kindergarten readiness and support family wellbeing by sending specially trained educators on monthly home visits to help parents foster their babies’ early development. By 1985, when an evaluation touted strong results for the pilot, the Missouri legislature already had made the program—dubbed Parents as Teachers—a mandatory offering of school districts statewide. Soon after, the St. Louis-based Parents as Teachers National Center, formed to oversee the state program and respond to outside inquiries, became an independent nonprofit. From the start, the National Center staff built quality controls into program design and the training of parent educators while simultaneously embracing rapid growth; by 1999 Parents as Teachers programs served more than 500,000 children in the US and six foreign countries. But despite such quality control efforts, the flexibility and adaptability that aided fast replication left the National Center with no effective way to manage or monitor the more than 2,000 sites worldwide. As a result, the National Center was forced to take a hard look at its replication model, its oversight role, and at how the center could better monitor and improve program quality.

This two-case series allows discussion of key issues facing growing nonprofits, in particular, weighing the tradeoffs inherent in different replication strategies; managing the tension between rapid growth and quality control; and analyzing how political and funding constraints can impact program design. While the (A) case addresses replication, training, organizational structures, and program design, the (B) case focuses on questions around evaluation, program fidelity, and implementation of quality standards.

#### **HKS Case References**

**1849.0 Starting Small, Reaching High: The Parents as Teachers National Center’s Quest for Growth with Quality (A)**

**1850.0 Starting Small, Reaching High: The Parents as Teachers National Center's Quest for Growth with Quality (B)**

ORGANIZATIONAL CULTURE CHANGE

**One Church/ One Child Minority Adoption Campaign; State of Illinois; 1986 Winner**

In 1980, the Illinois Department of Children and Family Services faced a crisis. Over 700 black children in Cook County, including 69 infants, waited for adoption while the agency was unable to find black parents. Director Gregory L. Color, with his deputy Gordon Johnson, approached Father George Clements, a black activist Chicago priest in the Baptist community. From those meetings came One Church, One Child, a plan to use pastors of the black churches as spokesmen to reach the community. Color and Johnson faced several hurdles as they asked a private religious institution to help solve a public agency's problem. They had to change negative attitudes both in the black community; which had grown to distrust the state agency, and among a staff suspicious of change who would implement the black adoption program. They had to revamp state laws that inhibited the adoption process. And they had to change bureaucratic procedures that had proven ineffective. The accompanying video exhibit brings to life the successful strategy of the One Church, One Child program, focusing on a presentation in a black church designed to encourage adoptions. In addition, the video includes retrospective comments from the program's administrators and vignettes of families who have adopted children as a result of the program. This case will challenge students to examine the assumptions that limit bureaucracies. Available in Spanish translation.

**HKS Case References**

**C16-88-856.0 Finding Black Parents: One Church, One Child**

**C16-88-856.1 Finding Black Parents (Sequel/Epilogue)**

**C16-88-856.9 Finding Black Parents (Video Exhibit)**

PROGRAM TRANSFER

**Single Room Occupancy Residential Hotel Program; City of San Diego, CA; 1988 Winner**

When an idea for which she's had responsibility wins a major national award, a San Diego planner must, under the terms of the award, take responsibility for alerting other jurisdictions to the merits of the idea: new, privately funded single room occupancy "hotels" for the working poor. At first, Judy Lenthall plans a conference to which she intends to invite interested planners from other cities. When the mayor of

San Diego disapproves, Lenthall must figure out a variety of strategies that will actually spread the word and lead to "replication."

**HKS Case References**

**C16-92-1119.0 Replicating Innovation: Judy Lenthall and SRO Housing Construction in San Diego**

**C16-92-1119.1 Replicating Innovation: Judy Lenthall and SRO Housing Construction in San Diego (Sequel/Epilogue)**

PERFORMANCE EVALUATION

**Project Match; State of Illinois; 1988 Winner**

Located in one of the most troubled housing projects in Chicago, the job training program known as Project Match has an unusual approach to the task of bringing welfare recipients into the world of work. Rather than trying to broker a simple job placement, the program tries to encourage long-term change in the habits and living style of its hard-to-place population, in part by creating a social atmosphere in which work and ambition are valued. But because it receives funds from the Illinois Department of Public Aid, Project Match finds itself under pressure to produce job-placement results which demonstrate its success. The program itself urges authorities to find ways to quantify success besides simply finding someone a job-and places a premium on keeping track of those it's trying to help, long after a first job placement. The case highlights the challenges of social service program evaluation, as well as the problems an innovative agency has explaining itself to traditional bureaucracies with which it must deal.

**HKS Case References**

**C16-92-1076.0 Ladder and the Scale: Commitment and Accountability at Project Match**

**C16-92-1076.3 The Ladder and the Scale: commitment and Accountability at Project Match (Abridged)**

RE-ENGINEERING/ RESTRUCTURING GOVERNMENT AND QUALITY MANAGEMENT

**The Blackstone Project: Preventing Pollution Before it Happens**

This case examines the origins and follows the implementation of a radical restructuring of the way the Massachusetts Department of Environmental Protection conducts inspections of industrial facilities. Specifically, it tells the story of a pilot program designed both to change the way in which inspections were carried out and the purpose of inspections. The Blackstone Project moved to replace inspec-

tions conducted by technical specialists in specific areas—air, water, hazardous waste—with “cross-media” inspections, in which one inspector would consider an industrial operation as a whole. The project represented a radical departure for a department in which technical specialists had their own culture and history. At the same time, it represented an attempt to replace traditional law enforcement with pollution prevention—single inspectors acting as much as advisors for firms as law enforcers. This meaty case allows for analysis of the ways in which an organization’s internal structure relates to its overall mission.

#### **HKS Case References**

**C16-93-1197.0 Preventing Pollution in Massachusetts: The Blackstone Project**

**C16-93-1197.1 Preventing Pollution in Massachusetts: The Blackstone Project (Sequel/Epilogue)**

#### **CityWork; City of Louisville, KY; 1995 Winner**

The belief of Louisville, Kentucky, Mayor Jerry Abramson in improved service to citizen “customers” leads to the 1989 establishment of a centralized complaint/information system—a single phone number to which complaints or inquiries about any of the city’s 25 departments can be made. But despite apparent success and a high public profile, managers of the “CityCALL” system become frustrated with what they view as inefficiencies in their relationships with other city agencies. Some are linked to CityCALL by computer; others show little apparent inclination to cooperate. The case calls for consideration of how CityCALL could be improved through the vehicle of Louisville’s “CityWork” system, in which public employees, in a retreat-style setting, are called upon to offer specific suggestions for change. The case explores the evolution of an innovative program—its unexpected side effects and the sorts of resistance it encounters. It highlights, as well, Mayor Abramson’s contention that a system of cooperative program evaluation—CityWork—can lead to efficiencies which rival public/private competitive bidding and other “privatization”-style strategies.

#### **HKS Case References**

**1355.0 Central Complaint and Information Service for Louisville: City Call (A)**

**1355.1 Central Complaint & Info. Service for Louisville: City Call (Sequel/Epilogue)**

**1384.0 Central Complaint & Info. Service for Louisville: City Call (B)**

#### **Related Case**

This is a public sector total quality management (TQM) case. Louisville, Kentucky Mayor Jerry Abramson, early in his second term, finds himself dissatisfied with what is ostensibly a significant string of accomplishments—among them economic development, housing and urban beautification projects. He finds himself wanting to do more than cut ribbons on new initiatives, though, and seeks, in addition, to change

the way the ongoing, core departments of city government serve the public. In an effort to bring a customer orientation to such agencies as Louisville’s public works department, Abramson recruits a major local private employer—General Electric—to design a training program to bring its “total quality” approach to the public sector. The case tells the story of the origins and effects of the GE/Louisville partnership.

#### **HKS Case Reference**

**C16-92-1155.0 Meeting for a Need: Jerry Abramson and CityWork in Louisville, Kentucky**

#### **Competition and Costing; City of Indianapolis, Indiana; 1995 Winner**

During his successful 1991 bid for the Indianapolis mayoralty, Stephen Goldsmith is clear about his preference for privatizing city services. Once in office, however, Goldsmith decides on a different, more complex approach. The inefficiency of publicly-provided services, he reflects, may not be the result of their being public but rather a reflection of the lack of competition over who will provide them. In that light, Goldsmith undertakes a bold experiment: to force city departments to bid against private providers. This case focuses on the first stages of the Goldsmith experiment, a time in which city public works crews must, for the first time, compete against private firms for a pothole repair contract. The case raises core questions as to how to structure public-private competitions to ensure that valid comparison will be possible, as well as how to determine the exact nature of public costs. In addition, it allows for discussion of more theoretical questions as to whether some functions must always be public, while others should be private and still others privately-provided but publicly-financed.

#### **HKS Case References**

**C18-95-1269.0 Mayor Stephen Goldsmith: Organizing Competition in Indianapolis (A)**

**C18-95-1270.0 Mayor Stephen Goldsmith: Organizing Competition in Indianapolis (B)**

**C18-95-1270.1 Mayor Stephen Goldsmith: Organizing Competition in Indianapolis (Sequel/Epilogue)**

#### **Related Case**

When the city of Indianapolis adopts a policy leading to head-to-head competition for contracts between public and private sector bidders, public departments such as the city’s motor vehicle maintenance facility find themselves in a brave new world. This case examines the point-by-point construction of the Indiana policy Fleet Services bid for the right to perform both routine and non-routine maintenance on the city’s motor vehicles and equipment, ranging from police cars to garbage trucks. It is designed to familiarize students with the process of understanding a public sector Request for Proposals (RFP) and developing a bid in response. It calls

on students to understand the city's budget, its contractual relationship with organized labor, the potential use of employee merit pay and the variety of incentives, both for good or ill, that can arise by virtue of the way a contract is drafted. Thus the case is useful both for those interested in the public-private bidding process and for those interested in the drafting of public contracts.

#### **HKS Case Reference**

##### **1323.0 Preparing a Public Sector Bid: Indianapolis Fleet Services**

#### **Groundwater Management Code; State of Arizona; 1986 Winner**

Throughout the 1960s and 1970s, increasing demands for water threatened to lead to a crisis in Arizona. The growth of the desert state's cities posed a conflict with its agricultural and mining interests. Its main source of water-groundwater extracted from beneath the arid surface—was threatened with depletion. This case frames the challenge faced by Arizona governor Bruce Babbitt to resolve the conflict in a way satisfactory to all three of the major interests: cities, farmers and mine owners. The case details the history of the Arizona groundwater dispute and the situation faced by Babbitt as he prepares to try to mediate it. The case invites discussion of mediation/negotiation techniques which can be employed by an elected official. In addition, it can be used as a policy exercise calling for proposals to develop an Arizona water policy that both serves and satisfies all players.

#### **HKS Case Reference**

##### **C16-91-1066.0 Groundwater Regulation in Arizona**

#### **Maine Top 200 Experimental Targeting Program; U.S. Department of Labor; 1995 Winner**

The federal Occupational Health and Safety Administration, created by Congress in 1970 to curtail what was viewed as a still-alarming level of industrial accidents, had, 20 years later, become a lightning rod for controversy. Its advocates viewed it as a bulwark of the defense of safe working conditions but opponents portrayed it as abusively intrusive, creating bureaucratic nightmares for employers. With that backdrop—and with dwindling manpower and other resources—OSHA officials in Maine, in 1991, try a radically different approach to their task, targeting 200 businesses which data has told them are the state's most important to bring into compliance. OSHA hopes both to avoid diluting the inspection capacity it has—and to find ways to persuade, rather than to coerce through the law, business to make improvements. The apparent success of the Maine 200 program comes at a time when the new Clinton Administration is eager to find such government “reinvention” programs it can widely replicate. This case allows, first, for analysis of the strengths and weaknesses of the Maine 200 effort as an example of gaining compliance through a new form of enforcement, and, second, for discussion of the complications, and advisability, of taking a small program “to scale.”

#### **HKS Case References**

##### **C102-97-1371.0 Regulatory Reform at OSHA (A)**

##### **C102-97-1372.0 Regulatory Reform at OSHA (B)**

##### **C102-97-1373.0 Regulatory Reform at OSHA (C)**

#### **Move Information, Not Property; U.S. Department of Defense; 1999 Finalist**

This government re-engineering case focuses on the agency responsible for procuring goods and services (other than weapons) for the Department of Defense. New leadership at the DLA must deal with a sharply changed system. Rather than receiving an annual appropriation, the mammoth agency must bill its multitude of customers—the various military services—for performing procurement tasks. In trying to make itself a customer-focused operation, DLA considers changing both the management structure of its headquarters and the relationship between its headquarters and field offices.

#### **HKS Case References**

##### **1237.0 Reorganizing the Defense Logistics Agency**

##### **1237.1 Reorganizing the Defense Logistics Agency (Sequel/Epilogue)**

#### **Philadelphia Anti-Graffiti Network; City of Philadelphia, PA; 1991 Winner**

When Wilson Goode becomes the first African-American mayor of Philadelphia, he must find ways to fulfill a particularly visible campaign pledge: elimination of the graffiti which mar public buildings throughout poorer sections of the city and particularly in the North Philadelphia black wards crucial to Goode's victory. This tells the story of a series of quite different compliance strategies pursued by a new city agency specifically created to curtail graffiti and housed within the mayor's office. The anti-graffiti effort first conceives the problem in social terms and initiates a series of efforts to deal with the “roots” of the graffiti problem, specifically the alienation and joblessness which may affect graffiti writers. Public pressure builds, however, for the city to adopt a more aggressive enforcement posture, viewing graffiti as a criminal act which must be swiftly punished. The case allows for discussion of the nature of public compliance and how it is achieved.

#### **HKS Case References**

##### **C16-93-1192.0 Fighting Graffiti in Philadelphia (A)**

##### **C16-93-1193.0 Fighting Graffiti in Philadelphia (B)**

#### **Strive Toward Excellence in Performance; State of Minnesota; 1986 Winner**

On February 13, 1984, Minnesota Commissioner of Administration Sandra J. Hale told a group of some 200 state managers that her department would soon launch a program to improve the “effectiveness and productivity” of state government. Hale and many other government leaders believed that past initiatives—usually focused either on cost-cutting or on management schemes developed by private sector

executives—had failed to generate significant, lasting change in the performance of state government. She christened the new program “STEP” (Strive Toward Excellence and Productivity, later renamed Strive Toward Excellence in Performance) specifically to distinguish it from a 1971 productivity initiative called “LEAP” (the Loaned Executive Action Program), which was still remembered bitterly by many state workers. STEP would rely on ideas generated within the bureaucracy, Hale told the managers, and would create more cooperative partnerships between the public and private sectors. This decision-forcing case focuses on administrators charged with the task of designing the STEP program and challenges students to consider how to institutionalize innovation in government. Students will be asked to identify the political and institutional obstacles to innovative management and to consider what it would take to authorize—and galvanize—managers to approach their divisions in fresh, creative ways.

#### **HKS Case Reference**

**C16-87-737.0 Striving Toward Excellence in Minnesota**

#### ***Related Case***

When Denise Fleury left the insurance industry to become head of the Minnesota Office of State Claims in June 1984, she knew the job would be challenging. Recent changes in state law had changed and broadened the mission of the state claims office, which administered workers’ compensation benefits for all state employees. Fleury soon found herself scrambling to cope with day-to-day crises while trying to take on a host of new tasks. Through Fleury’s eyes, students will see the dilemmas that confronted the young manager and how she tackled them during her first year. This part of the case is a good introduction to how a manager creates organizational capacity. They will also see that at the end of her first year—despite significant progress—internal office procedures remained frustrating and confusing. The case ends here, giving students the chance to discuss what Fleury should do next, and how she might use various resources strategically in State Claims. This case provides an interesting counterpart to Striving Toward Excellence in the State of Minnesota (C16-87-737.0). In the Denise Fleury case, from the perspective of a mid-level manager, students can take another look at STEP as it was actually developed, to see whether it looks like a useful and attractive resource.

#### **HKS Case Reference**

**C15-87-744.0 Denise Fleury and the MN Office of State Claims**

#### **Washington State Workers’ Compensation; State of Washington; 1992 Winner**

Like many such systems, the Washington State Workers Compensation Administration was, in the mid 1980s, in deep financial distress. Worse still, its fiscal problems were matched by deep problems of efficiency and morale, particularly in its crucial Claims Administration Unit, which called into question the agency’s ability to put its

house in order. Under intense public and political pressure, a new team of administrators buys time through stopgap financial steps, before turning to the daunting task of internal structural reform, focused on the claims unit. The case provides rich detail of both the political and production operation issues which administrators confronted, including its strategy of breaking a claims log-jam by terminating a long-established “assembly-line” claims process. Adopted in its place is a new structure which encouraged employees to take holistic responsibility for compensation claims and worker rehabilitation. The case raises the complications of worker morale, union relations and political and business pressures with which administrators coped, knowing that the possibility of privatization was a real alternative. They struggled both to put the department on its feet and to demonstrate a *raison d’être* for a public system. Ultimately, their efforts were recognized by an Innovations in American Government Program Award.

#### **HKS Case References**

**1317.0 Washington State Workers’ Compensation Administration (A)**

**1318.0 Washington State Workers’ Compensation Administration (B)**

#### **Xport, The Port Authority Trading Company; Port Authority of New York and New Jersey; 1990 Winner, 1998 Finalist**

This case takes its place in the ongoing debate over privatization: which functions are best performed by the public sector, which should be reserved to private enterprise? In this instance, a newly-appointed executive director of the Port Authority of New York and New Jersey must decide whether or not to continue a fledgling “public sector trading company”—a program designed to nurture small business exports by identifying overseas customers and acting as middleman in the transaction—all for a fee. Early sales figures are disappointing; organized private opposition has surfaced in the state legislature. But a strong-willed program director is convinced that small exporters are not served by private trading firms and that increasing the volume of small exports will help keep the Port Authority’s facilities busy.

#### **HKS Case References**

**C16-91-1025.0 XPORT: A Public Sector Trading Company**

**C16-91-1025.1 XPORT: A Public Sector Trading Company (Sequel/Epilogue)**

#### **INNOVATIONS-INSPIRED CASE STUDIES**

The following case studies were commissioned and/or inspired by the Innovations in American Government Awards Program, though they were not based directly on Innovations in American Government Award winners or finalists.

#### **Allocation in Portland, Oregon: PCAM in the Bureau**

For almost fifteen years, dating to the late 1960s, the Portland, Oregon Police

Bureau has used the Patrol Car Allocation Model (PCAM), a sophisticated computer model, to guide its division of police officers among the city's precincts. Starting in 1985, convinced that it was seriously short-handed, the bureau began to use the same model to assess its overall personnel needs, and subsequently as part of its political strategy to force the city to budget more money for patrol officers. This case traces how the bureau first embraced PCAM as an objective, apolitical tool, how different groups within the bureau sought to manipulate the system technically for various ends, and, finally, how the bureau attempted—with a striking lack of success—to employ PCAM's mantle of objectivity for political purposes. It is intended to support a discussion of how computerized management information systems are introduced to organizations, how organizations tend to react to them, and the limits and risks of using "objective" analysis as a political strategy.

#### **HKS Case References**

**C15-88-818.0 Patrol Allocation in Portland, Oregon (A): PCAM in the Bureau**

**C15-88-819.0 Patrol Allocation in Portland, Oregon (B): PCAM in the City**

#### **Boston Power Patrol**

This case concerns the creation of a special policing unit designed to target hot spots in Boston's "Area B"—a high crime district. The case describes the police department's formation of the unit in response to a wave of violent crime during the early months of 1986. The case describes the dramatic rise and fall of this all-black patrol in the face of charges of racial discrimination by the policeman's union. It then discusses the unit's organization, operations and early success. The case closes with police commissioner Francis M. Roche pondering whether to extend the power patrol to other parts of the city. This case raises three major issues. First, it helps students to address the question of demand management. By creating a special unit to handle hot spots, the Boston police department had begun to implement a strategy which sought to address the sources of demand, rather than simply respond to calls. Second, the case raises important issues about the nature of relationships between government agencies and minority communities. Finally, the case allows students to discuss strategies for changing an organization's internal culture in response to external demands. This case has been used in executive sessions for senior managers, in pre-career and mid-career courses on production operations management, and courses in organizational behavior.

#### **HKS Case Reference**

**C15-88-820.0 Boston Power Patrol**

#### **A Welfare System that Works for Everyone: The Montgomery County, Indiana, Department of Public Welfare**

This case examines the efforts of a new manager to improve morale at a rural Indiana county's Department of Public Welfare. Keith Weedman approaches his task

not merely as a matter of better internal management but as one of changing the relationship between the welfare office and the community. Rather than announcing new initiatives, Weedman chooses to create a "think tank," a series of meetings in which county welfare officials and local leaders jointly devise ways of aiding those on public assistance. The case invites discussion of the relationship between internal and external management initiatives and on the process by which new ideas can gain acceptance. Good for total quality management courses.

#### **HKS Case References**

**C16-93-1185.0 A Welfare System that Works for Everyone: The Montgomery County, Indiana, Department of Public Welfare**

**C16-93-1185.2 Welfare System that Works for Everyone (Teaching Note)**

#### **Blip on the Screen-or Wave of the Future? "Electronic Democracy" in Santa Monica**

The quest for ever more "participatory democracy" leads the well-known, left-of-center city in Southern California to establish a network of computer terminals to allow citizens to discuss public affairs "on-line"—both with each other and with elected officials. The case reviews the two years of the system's operation, including a description of the system's apparent effect in influencing a new city policy on homelessness. The relatively small number of users, however, as well as the indifference of some elected officials to the system, raises questions both about the extent of the impact of such a system and whether technological innovation dramatically changes assumptions about the role of representative democracy.

#### **HKS Case References**

**C16-91-1031.0 Blip on the Screen-or Wave of the Future? "Electronic Democracy" in Santa Monica**

**C16-91-1031.2 Blip on the Screen-or Wave of the Future? "Electronic Democracy" in Santa Monica (Teaching Note)**

#### **Executive Branch and the Legislature: Opening the Lines of Communication in Minnesota**

A case which explores the assumptions and standard operating procedures of the legislative budget process as seen through one state's experiment. The Minnesota Department of Revenue, and the legislative committee which oversees its budget, had tired of the usual budget politics. Both the appointed and elected officials involved knew the "rules": in the face of increased scrutiny or the threat of cuts on the part of the politicians, the agency officials threaten disastrous cuts in services. In a state with a two-year budget cycle—and thus an off-year in which the budget would not be debated—officials decided to try to live by new rules. The centerpiece of the proposed new relationship between the State Department's Division of the Appropriations Committee and the Department of Revenue would be a new kind of

hearing, a three-day review in which the department candidly told its regulators its situation and sought guidance, as if from a board of directors. This case explores the preparation for this experimental oversight hearing from the points of view of both elected and appointed officials. Separate texts for each allow students to play roles without being privy to the other side's preparations.

#### **HKS Case References**

**C16-90-991.0 Executive Branch and the Legislature: Opening the Lines of Communication in Minnesota (A)**

**C16-90-992.0 Executive Branch and the Legislature: Opening the Lines of Communication in Minnesota Part B-1: The Revenue Department**

**C16-90-993.0 Executive Branch and the Legislature: Opening the Lines of Communication in Minnesota Part B-2: The State Departments Division**

**C16-90-994.0 Executive Branch and the Legislature: Opening the Lines of Communication in Minnesota (C)**

**C16-90-994.1 Executive Branch and the Legislature: Opening the Lines of Communication in Minnesota (Sequel/Epilogue)**

#### **Fighting Fear in Baltimore County**

The police have always taken fighting fear to be part of their job, but they have always assumed that fear reduction was an inevitable by-product of traditional crime-control techniques like patrol and rapid response to 911 calls. Early in the 1980s, the Baltimore County Police Department decided to fight fear directly. The Citizen Oriented Police Enforcement (COPE) unit would struggle, over the next five years, with the problems of defining and assessing fear, of the failure of traditional police tactics to assuage fear, and with various new techniques such as community organizing, problem-solving, and partnerships with other municipal agencies. In the end, COPE would present a maturing strategy for fighting fear as a plausible new addition to policing.

#### **HKS Case Reference**

**C16-90-938.0 Fighting Fear in Baltimore County**

#### **Introducing Marketplace Dynamics in Minnesota State Government**

The Minnesota Department of Administration had historically been a central purveyor of a variety of services--printing, cleaning, automotive--for the line agencies of state government. It was widely perceived, however, as inefficient and expensive by those forced to use its services, who, when they could, looked for ways around it. In 1983, a new assistant commissioner of the department set out to change the way it did business. He envisioned a department that saw itself not as a purveyor of monopoly services to captive agencies but, rather, as a service organization that needed to care for its customers--and to compete for them. Assistant Commissioner Babak Armajani used a variety of techniques to introduce these marketplace

dynamics to the agency. The case recounts a series of specific instances in which he introduced the marketplace concepts to the Department of Administration.

#### **HKS Case Reference**

**C16-88-826.0 Introducing Marketplace Dynamics in MN State Government**

#### **Managing a Press “Feeding Frenzy:” Gregory Coler and the Florida Department of Health and Rehabilitative Services**

A reform-minded director of one of the largest human services agencies in the United States brings an aggressive, entrepreneurial approach to his task. In his first two years on the job, Gregory Coler appears to awaken a slumbering agency, ushering in new computer systems and new programs with a high public profile. His career in Florida is forever changed, however, when one child is released by department social workers in the custody of his natural parents--and is brutally murdered. Coler finds that he must not only defend his agency's actions in relation to that incident but that, suddenly, his general approach to running the agency has become a target of negative publicity. The case is designed both to illuminate the dynamics of interaction between government and the press and to frame the question of how Coler might best have handled the situation he confronted. Hitchner Case Prize Winner, 1992.

#### **HKS Case Reference**

**C16-92-135.0 Managing a Press “Feeding Frenzy”: Gregory Coler and the Florida Department of Health and Rehabilitative Services**

**C16-92-11135.1 Managing a Press “Feeding Frenzy”: Gregory Coler and the Florida Department of Health and Rehabilitative Services (Sequel/Epilogue)**

#### **Managing the Underground City: The New York City Transit Authority Reclaims its Subway Stations**

This case is designed to develop and assess strategies for introducing widely centralized innovation in one of the nation's most hidebound bureaucracies: the New York City Transit Authority, responsible for operating the bus and subway system in the five boroughs of New York. The case employs text, data, organizational charts and an array of video information to bring users into the heart of the Transit Authority's operations. It calls on users to assume the role of John Gerst, newly-appointed manager of the 231st St. station in the Bronx, as he copes with congestion, crime and the “TA” bureaucracy. The format allows users to see a short “movie” about 231st St. before facing a series of choices as to how to obtain more information and to whom the station manager may want to speak elsewhere in the bureaucracy. Users may then “interview” a variety of upper and middle managers, and to jump between interviews as they discuss related points. As a variety of solutions emerge, the class as a whole can assess whether the station manager program itself is the kind of medicine the Transit Authority needs. The text-based case, Man-

aging the Underground City, provides the history of the origins and hopes for the station manager program.

#### **HKS Case References**

**1275.0 Managing the Underground City: The New York City Transit Authority Reclaims its Subway Stations**

**1275.1 Managing the Underground City: The New York City Transit Authority Reclaims its Subway Stations (Sequel/Epilogue)**

**1275.2 The New York City Transit Authority Station Manager Program: The Problem at 231st St. (Teaching Note)**

**1275.9 The New York City Transit Authority Station Manager Program: The Problem at 231st St. (CDROM)**

**C18-95-1275.0 Managing the Underground City: The New York City Transit Authority Reclaims its Subway Stations**

**C18-95-1275.1 Managing the Underground City: The New York City Transit Authority Reclaims its Subway Stations (Sequel/Epilogue)**

#### **Minnesota Knowledge Systems Center**

A bold plan to introduce “marketplace dynamics” into Minnesota state government builds on a transformation of the state’s computer services. Coincident with the establishment of a new information services agency—the InterTechnologies Group—state Commissioner of Administration Sandra Hale and “Intertech” director Judy Pinke undertake the process of changing the way the information agency views other state departments. Where once Intertech’s predecessor had seen “users,” Hale and Pinke now wanted employees to see “customers.” Change in the types and use of computer technologies are part of Hale’s ambitious plan to “reinvent” state government. Their efforts lead toward the establishment of an artificial intelligence component of state government, the Minnesota Knowledge Systems Center, designed to capture and preserve the special expertise of the 30,000 employees of Minnesota state government. Among the products to be created is a “solution factory” designed to capture experience and make it permanently available.

#### **HKS Case Reference**

**1015.0 Minnesota Knowledge Systems Center**

#### **Moderately Priced Dwelling Units in Montgomery County, Maryland**

This case explores the response of one affluent, suburban county to the perceived need, both for economic and social policy reasons, for “affordable” (i.e., moderately-priced) new housing. It recounts the origins and evolution of an adjustment to the county zoning code designed to permit construction of higher-density (and therefore more profitable) housing, in exchange for an agreement by developers to construct prescribed numbers of moderately-priced units on the same development sites as well. This case raises some of the most dramatic social policy issues to be

found in American society. Should political jurisdictions also serve as economic barriers? If not, how should housing patterns deal with variations in income? Apart from these types of social policy issues, the case also scrutinizes the details of a regulatory scheme designed to harness private sector activity toward public social purposes, in a way that suggests parallels to other situations.

#### **HKS Case References**

**C16-91-1043.0 Moderately Priced Dwelling Units in Montgomery County, Maryland**

**C16-91-1043.1 Moderately Priced Dwelling Units in Montgomery County, Maryland (Sequel/Epilogue)**

#### **Plastic in the Public Sector**

This five-paragraph case sketches a debate in the state of Minnesota about whether to allow payments for their annual \$15 park permits by credit card. The debate took place in the context of a larger Department of Natural Resources effort to increase use of state parks; an informal marketing exercise had revealed that parks-users would appreciate the convenience of being able to pay with plastic. DNR began to push the idea, but ran into opposition from the state Department of finance, which was concerned about the bookkeeping complexities inherent in the scheme, as well as its apparent costs. This case has been used to prompt a “what’s-the-real-issue-here” discussion in class. It can be argued that the question of whether to allow credit card payments is essentially a make-or-buy decision and that to recognize it as such will significantly clarify the decision-making process.

#### **HKS Case Reference**

**C16-87-784.0 Plastic in the Public Sector**

#### **Profit Sharing for the Public Sector: The Shared Savings Program in Pittsburg, California**

Under pressure to save money and improve efficiency, the head of the public works department of the small city of Pittsburg, California develops a novel approach: if key members of his department are able to perform specific tasks in ways such that costs are reduced, they will themselves share personally in the savings, taking home bonuses in their paychecks. This powerful motivational tool is deployed within a department which, notwithstanding this incentive, generally offers little job security or fringe benefits. The case allows for discussion of whether personal financial rewards are appropriate for public agencies and whether such an approach could be sustained, as a practical matter, over time.

#### **HKS Case Reference**

**C16-92-1153.0 Profit Sharing for the Public Sector: The Shared Savings Program in Pittsburg, CA**

### **Shifting the Terms of Debate: Mayor Norm Rice and the Greater Seattle Growth Quagmire**

When Seattle Mayor Norm Rice decides to seek ways to push a limited pro-growth strategy in a city long leery of new development, he confronts an essential conflict in political life: How can elected officials discuss new ideas to which they may be committed-but which may contravene the conventional wisdom of their constituents. The case is designed to allow for discussion of both whether and how the mayor can reframe the growth issue so as to make it palatable. More broadly, the case allows for discussion of the political calculus which underlies public sector innovation.

#### **HKS Case Reference**

C-16-93-1156.0 Shifting the Terms of Debate: Mayor Norm Rice and the Greater Seattle Growth Quagmire

### **Spreading the Gospel: The Origin and Growth of the DARE Program**

A program originated in Los Angeles to bring police officers, preaching an anti-drug message, to public school classrooms, not only seems to show promise but spreads quickly across the US. Is the idea itself so good that others simply rush to emulate it? Or is the program designed in such a way that school and police departments in a variety of jurisdictions have their own incentives to adopt DARE? This Innovations in State and Local Government case explores the reasons for which and the ways in which program ideas spread across localities in a democratic system.

#### **HKS Case References**

C16-91-1029.0 Spreading the Gospel (A): The Origin and Growth of the DARE Program

C16-91-1030.0 Spreading the Gospel Part B: DARE Goes National Case

## **ADDITIONAL CASE STUDIES**

The following cases may be of interest for those interested in government innovation and performance. These are only a small sample of what the Harvard Kennedy School Case Program has to offer. These and many other cases can be purchased at the HKS Case Program site: <http://www.ksgcase.harvard.edu/>

### **A Go-Getter in DOD**

#### **HKS Case Reference**

1747.0 A Go-Getter in DOD

### **An Organizational Sea Change: Total Quality Management in the Coast Guard**

#### **HKS Case Reference**

1205.0 An Organizational Sea Change: Total Quality Management in the Coast Guard

### **Bringing Smart Growth to Massachusetts: Douglas Foy and the Office for Commonwealth Development**

#### **HKS Case References**

1799.0 Bringing Smart Growth to Massachusetts: Douglas Foy and the Office for Commonwealth Development

1799.1 Bringing Smart Growth to Massachusetts: Douglas Foy and the Office for Commonwealth Development: (Sequel/Epilogue)

### **Business Process Transformation at the CIA**

#### **HKS Case References**

1515.0 Business Process Transformation at the CIA (A)

1516.0 Business Process Transformation at the CIA (B)

1516.1 Business Process Transformation at the CIA (Sequel/Epilogue)

### **California Franchise Tax Board: Strategies for a Changing Workforce**

#### **HKS Case References**

1201.9 California Franchise Tax Board: Strategies for a Changing Workforce (Video)

1201.4 California Franchise Tax Board: Strategies for a Changing Workforce (Supplement A)

1202.4 California Franchise Tax Board: Strategies for a Changing Workforce (Supplement B)

### **CALS: Linking the Government and its Vendors**

#### **HKS Case Reference**

1011.0 CALS: Linking the Government and its Vendors

### **Centrelink: A Service Delivery Agency in Australia**

#### **HKS Case References**

1524.0 Centrelink: A Service Delivery Agency in Australia

1524.1 Centrelink: A Service Delivery Agency in Australia (Sequel/Epilogue)

1524.3 Centrelink: A Service Delivery Agency in Australia (Abridged)

### **Confronting HIV/AIDS in Pingxiang, China**

HKS Case References

1785.0 Confronting HIV/AIDS in Pingxiang, China (Part A)

1786.0 Confronting HIV/AIDS in Pingxiang, China (Part B)

### **Congestion Charging in London**

HKS Case References

1787.0 Congestion Charging in London (A): The Western Extension

1788.0 Congestion Charging in London (B): The Economics of Congestion Tolls

### **Creating a “Cyberculture” of Wilderness: The Development of the Wilderness Information Network**

HKS Case References

1501.0 Creating a “Cyberculture” of Wilderness: The Development of the Wilderness Information Network

1501.1 Creating a “Cyberculture” of Wilderness (Sequel/Epilogue)

1501.9 Creating a “Cyberculture” of Wilderness: The Development of the Wilderness Information Network (Web-based Case)

### **E-ZPass: Effort to Design and Implement a Regional Electronic Toll Collection System**

HKS Case References

1818.0 E-ZPass: Effort to Design and Implement a Regional Electronic Toll Collection System (A)

1819.0 E-ZPass: Effort to Design and Implement a Regional Electronic Toll Collection System (B)

### **Family Net: An Automated Child Welfare Information System**

HKS Case Reference

1552.0 Family Net: An Automated Child Welfare Information System

### **Igniting the Passions: Private vs. Public Fire Service in Suburban Phoenix**

HKS Case Reference

1166.0 Igniting the Passions: Private vs. Public Fire Service in Suburban Phoenix

### **Introducing Total Quality Management to the Design Division of the Indiana Department of Transportation**

HKS Case Reference

1212.0 Introducing Total Quality Management to the Design Division of the Indiana Department of Transportation

### **The KIDSNET Story: Can a Medical-Information System Improve Public Health?**

HKS Case References

1800.0 The KIDSNET Story: Can a Medical-Information System Improve Public Health?

1800.1 The KIDSNET Story: (Sequel/Epilogue)

### **Laura Johnston & the Sandia High School: Racial Transformation**

HKS Case References

1308.0 Laura Johnston & the Sandia High School: Racial Transformation (A)

1309.0 Laura Johnston & the Sandia High School: Racial Transformation (B)

1310.0 Laura Johnston & the Sandia High School: Racial Transformation (C)

1310.1 Laura Johnston & Sandia High School: Racial Transformation (Sequel/Epilogue)

### **Managing Student Aid in Sweden**

HKS Case References

1161.0 Managing Student Aid in Sweden

1161.3 Managing Student Aid in Sweden: Abridged

### **Michigan Rehabilitation Services: Should a Public Agency Compete with the Private Sector?**

HKS Case References

1182.0 Michigan Rehabilitation Services: Should a Public Agency Compete with the Private Sector? (A)

1183.0 Michigan Rehabilitation Services: Should a Public Agency Compete with the Private Sector? (B)

### **Peace Games: A Nonprofit’s Journey from Birth to National Expansion**

HKS Case References

1795.0 Peace Games: A Nonprofit’s Journey from Birth to National Expansion (A)

1795.1 Peace Games: A Nonprofit’s Journey from Birth to National Expansion (Epilogue)

1796.0 Peace Games: A Nonprofit’s Journey from Birth to National Expansion (B)

### **Power Partnership: The Creation of a Hybrid Electric Delivery Truck Eaton, FedEx, and Environmental Defense**

HKS Case Reference

1820.0 Power Partnership: The Creation of a Hybrid Electric Delivery Truck Eaton, FedEx, and Environmental Defense

**Redheaded Stepchild and the Favorite Son: Resolving Disparities between Norfolk, VA's Paramedical Rescue Service and Fire Department**

HKS Case References

1165.0 Redheaded Stepchild and the Favorite Son: Resolving Disparities between Norfolk, VA's Paramedical Rescue Service and Fire Department

1165.1 Redheaded Stepchild and the Favorite Son: Resolving Disparities between Norfolk, VA's Paramedical Rescue Service and Fire Department (Sequel/Epilogue)

**Reforming Prague City Hall: The Efforts of Mayor Jan Kasl to Increase Transparency and Fight Corruption**

HKS Case References

1797.0 Reforming Prague City Hall: The Efforts of Mayor Jan Kasl to Increase Transparency and Fight Corruption (A)

1798.0 Reforming Prague City Hall: The Efforts of Mayor Jan Kasl to Increase Transparency and Fight Corruption (B)

**Reinventing Government in Visalia, CA**

HKS Case References

1302.0 Reinventing Government in Visalia, CA A Movement at Risk (A)

1303.0 Reinventing Government in Visalia, CA A movement at Risk (B)

1303.1 Reinventing Government in Visalia, CA A Movement at Risk (Sequel/Epilogue)

**Robert Little & the Kinship Fostercare Program in NYC**

HKS Case References

1203.0 Robert Little & the Kinship Fostercare Program in NYC

1203.1 Robert Little & the Kinship Fostercare Program in NYC (Sequel/Epilogue)

1203.3 Robert Little & the Kinship Fostercare Program in NYC: Abridged

**Software for the Soldier**

HKS Case References

1214.0 MCS2: Software for the Soldier

1214.1 MCS2: Software for the Soldier (Sequel/Epilogue)

**The Struggle over Smart Growth in New Jersey**

HKS Case References

1791.0 The Struggle over Smart Growth in New Jersey

1791.1 The Struggle over Smart Growth in New Jersey (Sequel/Epilogue)

**Uniting Welfare and Child Welfare: The El Paso County Department of Human Services**

HKS Case References

1701.0 Uniting Welfare and Child Welfare: The El Paso County Department of Human Services

1702.0 Child Welfare Services in El Paso County, Colorado: Where Human Services and the Courts

**What If We Could Start Over? The US Forest Service Champions "Bottom-up" Management**

HKS Case References

1246.0 What If We Could Start Over? The US Forest Service Champions "Bottom-up" Management (A)

1247.0 What If We Could Start Over? The US Forest Service Champions "Bottom-up" Management (B)

1248.0 What If We Could Start Over? The US Forest Service Champions "Bottom-up" Management (C)

**www.business.gov: Building an Interagency Website**

HKS Case References

1497.0 www.business.gov: Building an Interagency Website

1497.9 www.business.gov: Building an Interagency Website (Web-based Version)

**DESCRIPTIVE CASES**

These cases, sometimes called "best practices," illustrate and analyze examples of innovations in diverse fields and geographic areas. These cases are the product of two projects: the Innovations in Technology (ITG) project, and the Ash Institute - World Bank Innovations in Local Service Delivery in Indonesia Case project. They can be downloaded at: <http://www.innovations.harvard.edu/>

**Water Supply and Health in Lumajang District, East Java Province, Indonesia 07-05**

Tan, Eleonora Suk Mei with C. Clarita Kusharto, Sri Budiayati

Lumajang District is one district where the government's Water and Sanitation for Low Income Communities (WSLIC-2) project has been implemented. The project began in 2001, and now covers 23 communities. WSLIC-2 is an initiative that helps poor communities gain access to a safe water supplies and high-quality sanitation services, thereby reducing the incidence of water-borne diseases. Community participation through the use of local facilitators, community construction, and maintenance of water facilities has resulted in measurable improvements in cit-

izens' health and access to clean water, as well as positive changes in citizen and health provider behavior regarding disease prevention.

#### **Creating Learning Communities for Children in Polman District, West Sulawesi Province, Indonesia 05-05**

Nachuk, Stefan, Susannah Hopkins Leisher, Arya B. Gaduh with Nunik Yunarti, Maulina Cahyaningrum, Lina Marliani, Luis Fujiwara

Creating Learning Communities for Children (CLCC) is a training package that focuses on school-based management, community participation, and joyful/active learning. This study traces its implementation in two schools in Polewali district in South Sumatra, since its introduction in 2001. The results indicate that CLCC had a lasting impact on improved learning practices in the school. However, no impact on test scores could be identified, parental involvement increased little, and most school committees continued to focus largely on revenue collection.

#### **Rewarding Educational Performance in Tanah Datar, Sumatra, Indonesia 04-05**

Tan, Eleonora Suk Mei, with C. Clarita Kusharto, Sri Budiyati

In February and March, 2005, research was carried out in Tanah Datar District, West Sumatra Province, Indonesia for one of nine case studies in support of a World Bank analytical project, "Making Services Work for the Poor." The objective of the case studies was to illustrate the impact of service delivery innovation on (a) stakeholders' behavior and (b) access to and quality of the service. The Ash Institute of Democratic Governance and Innovation at Harvard Kennedy School, in collaboration with the Ford Foundation International Innovations Liaison Group, has served as a partner in this project.

Two innovative education policies are highlighted in this case study: the Stronger Incentives Policy, which rewarded best-performing English teachers and headmasters with training and study visits overseas, and the Smaller Classes Policy, which limited class size in senior high schools to 30 students.

As a result of the new policies, over 200 school staff were sent overseas, all public (but not all private) senior high schools, as well as some junior high and elementary schools, have cut class sizes. Key changes in attitude and behavior included increased motivation to do better work on the part of English teachers and headmasters, changes in teaching methodology on the part of some English teachers, increased interest in student performance on the part of teachers and headmasters, increased support for the Bupati (governor) by those who benefited from the policies, and an increase in reform mindedness of government education and school staff. Access to senior high school education decreased for some children.

Changes in quality of education included improved teaching skills at the better schools, and broader educational offerings and better facilities at better

schools. There was, however, an increased financial burden on some schools and teachers, and an overall increase in inequity among schools.

Key to the positive impact of the reforms was changes in national government policy, the vision, imagination and leadership of the Bupati, and effective policy implementation. Factors which limited positive impact included inadequate dissemination of the new policies, lack of follow-up from study trips, the decision not to legalize the reforms, ineffective use of local government, insufficient numbers of classrooms, and no targeting of the poor and disadvantaged.

#### **Vouchers for Midwife Services in Kabupaten Pematang, Central Java, Indonesia 04-05**

Tan, Eleonora Suk Mei, with C. Clarita Kusharto, Sri Budiyati

Pematang District is one of ten districts where Targeted Performance Contracting for Midwives (TPC) was implemented for the Safe Motherhood Project. The project increased utilization of maternal health care services, increased equity to access to maternal health care services, and increased access to clientele for new midwives.

#### **The Pingree Forest Partnership as a Private Lands Conservation Innovation 01-04**

Levitt, James N.

The Pingree Forest Partnership, a multi-year effort spearheaded by the New England Forestry Foundation to acquire a permanent conservation easement on 762,192 acres of privately-owned forestland in the state of Maine, stands as an important conservation innovation marked by novelty and creativity in conception, political significance, and measurable effectiveness.

Conservationists active in the first decade of the twenty-first century are striving to transfer several of the innovative aspects of the Pingree project to new initiatives in North America and around the world. Should innovative aspects of the project be widely transferred to other initiatives, the Pingree project may have an enduring impact as a conservation innovation over the span of many decades.

This paper details key aspects of the Pingree effort, both offering highlights of what happened and considering important "so what" questions associated with the story. It has been prepared so as to be useful to conservationists interested in replicating aspects of the Pingree project, as well as others interested in striking out in new directions and setting new precedents.

#### **Agricultural Technology 110, Quzhou, China 10-03**

Auerswald, Phillip, Xuedong Yang

This case study refers to a project in Zhejiang Province, China, involving the use of information and communications technologies to build an information net-

work for the dissemination of agricultural technologies. The case study finds that though the project has begun to facilitate horizontal linkages between farmers, the actual operation is not satisfactory because farmers lack methods to access information and fear consulting with officials, who operate the whole system's capacities.

#### **Interactive Participatory Budgeting in Ipatinga, Brazil** 10-03

Carty, Winthrop, Fernanda Martinez de Oliveira, Jose Carlos Vaz

Since the late 1980's, a number of Brazilian municipal governments have used Participatory Budgeting as a mechanism for including citizens in the budget-setting process. However, it wasn't until 2001 that the Municipality of Ipatinga began using the Internet as a means to extend, enhance, and diversify the process whereby citizens voted on priorities and budgetary allotments for local projects.

Through the Internet component, accessible through the Municipality's website, citizens register their priorities and track public project delivery. The results of this innovation, described in this case study, show annual increases of 44 to 125 percent in the numbers of citizens giving input on budgeting priorities. The impact also appears to reach well beyond the traditional numbers: younger participants appear to be drawn into the process, while citizens with low levels of education are also using the Internet as a tool for inclusion of demands.

In sum, Ipatinga's Interactive Participatory Budgeting is an additional channel in the relationship between state and society: the virtual space provides democratization for participation and social control, whether for the actors who traditionally take part of municipal decisions or for new participants. However, it is during the regional and municipal assemblies that votes, debate and negotiation define where public resources will be applied: online participation allows interaction in certain parts of the process; the final decision occurs face to face.

#### **RENTAS: Integrating Local Citizen Collaboration to Scale up the Fight Against Animal Trafficking, Brazil** 10-03

Carty, Winthrop, Stanley Yung

Since its origins in 1999 in the provincial Brazilian city of Tres Rios, RENTAS, the Brazilian National Network to Fight the Trafficking of Wild Animals, has tapped the Internet to engage citizens throughout the country as a means to change public perception and government policy and practice regarding illegal animal trafficking in Brazil and around the world. Animal trafficking is the third largest illegal trade in the world after drugs and arms.

However, the problem and its harmful economic and social impact on Brazil was completely unknown before RENTAS began gathering citizen tips of trafficking online and using this information at the local, national, and international levels to spur enforcement activities and stimulate media coverage. RENTAS is now headquartered in Brasilia and has built a national and international reputation

and network of collaborators. The organization is currently exploring several options for how it can revamp its back-end capacity to keep up with the scope and scale of online interactions and demands for its knowledge and expertise.

#### **Integrating Levels of Government: "E-Local" INAFED, Mexico** 10-03

Garcia Vazquez, Gilberto

E-Local is promoting access to public information in a governmental system that historically has been closed to citizens. The purpose of this project is to improve communication among the different structures of government and between those structures and the citizenry at large. It is the first effort of a federal administration to encourage the use of IT in municipalities in order to strengthen democratic governance, improve municipal management tools, and promote the building, within the local sphere, of an "authentic federalism" in Mexico.

#### **Teocelo's Lombricomposta Program, Mexico: Citizen Engagement through Locally Generated Technology** 10-03

Garcia Vazquez, Gilberto

This case study refers to a program for comprehensive handling of organic waste effected in Teocelo, Veracruz. The program has turned into a comprehensive policy of sustainable development that favors environmental preservation promoting, crop restructuring in an area traditionally devoted to coffee production. The program innovation is its strategy for combining variables poorly articulated in local government policies in Mexico: economic development promotion, building low cost environmental technology, citizenship participation, and environmental protection.

#### **Technology and Greener Governance in Potchefstroom, South Africa** 10-03

Min, Brian, Chris Mingo, Johan Nel

This case study refers to a program implemented by the city of Potchefstroom, which has adopted programs to address the needs of its citizens by encouraging economic opportunities, improving health facilities and building houses. In 2001, Potchefstroom joined the Cities for Climate Protection Program of the International Council for Local Environment Initiatives.

The program demonstrates how a small city can take actions to address environmental issues and alleviate poverty through co-operative action between local government and communities.

#### **i-Governance in Naga City, Philippines** 10-03

Min, Brian, Luz Lopez Rodriguez

For the past decade, Naga City has harnessed information technology to improve, enhance, and redefine traditional notions of governance. The city's i-Gov-

ernance initiatives seek to engage individual citizens in civic affairs and increase their access to the local decision-making process. The program is motivated by the conviction that encouraging participation in governance leads to a more accountable and responsive government and fuels innovative approaches in city management. Innovative services like TextServe allow citizens to send requests and complaints to city officials using cellular phone-based text messaging. A richly featured city website offers residents the ability to access critical information on local services.

#### **Participatory Journalism Online: The Civil Society Daily, Chile** 10-03

Salinas, Javier

The eruption of information and communications technologies (ICTs) in Latin America has aided the region's efforts to achieve economic, political, cultural, and social development. ICTs have contributed to the sustained progress Chile has enjoyed since the mid-1980s. The Newspaper of the Civil Society is a pioneering experiment in the ICT field to improve the mechanisms of collaboration and participation between civil society and government.

Implemented in 1999 by the IDEAS Foundation with the support of the Fund for the Americas, the Newspaper has become an important tool to support the work of diverse organizations in civil society. It has enabled coordination and communication within civil society and has influenced public policy. Nevertheless, it faced many obstacles limiting its impact and reach as an innovative tool, such as the slow evolution between social connectivity and computer literacy, and the limited receptivity to its role in state policies related to the development of ICTs.

On the other hand, the high degree of legitimacy it has achieved within civil-society organizations and the objective and subjective empowerment they have granted to the Newspaper have spurred the formation of organizations such as the Forum for Civil Society and the training of more than 100 leaders and/or social agents to establish bridges of communication with government agencies in charge of implementing national policy for ICTs. "Public journalism" designed to increase the role of citizens in forming "public agendas" has also played an important role.

Some of the challenges facing the Newspaper are the diversification of its training dimension, its expansion to a national level, the strengthening of virtual public journalism, and achieving financial sustainability.

## **ASH INSTITUTE RESEARCH BY SPONSORED FACULTY**

Beginning in 2004, the Institute initiated an annual research grant competition open to all Harvard Kennedy School faculty. The research projects that have received support from the Institute are summarized below.

#### **Political Legitimacy and Counter Majoritarian Institutions in Divided Societies**

Arthur Applbaum

This research project analyzed the concept of political legitimacy, arguing that the necessary conditions for political actors to act with legitimacy are in part substantive, and not merely ones of pedigree or procedure. Professor Applbaum took the view that the substantive demands of political freedom and human rights limit the claims to normativity of both legal and democratic processes at home and abroad.

The research assessed the implications of this view in two domains that are not usually thought to be connected:

1. What are the necessary and sufficient conditions for justifying counter-majoritarian institutions and practices, such as substantive constitutions, judicial review, and disproportionate voting schemes, that restrict the discretion of majorities in constitutional and representative democracies; and
2. What are the necessary and sufficient conditions for justifying intervention in the affairs of non-democratic states in the service of various aims, such as protecting human rights, unseating tyrannical regimes, or establishing democratic government.

Applbaum's work explored the general claim that certain counter-majoritarian institutions and practices in a democracy not only are compatible with political legitimacy, but may even be necessary preconditions for political legitimacy. His work evaluated the legitimacy of one kind of counter-majoritarian institution in one kind of political society: voting and legislative arrangements in plural or divided societies that violate the formal one-person one-vote standard by disproportionately representing members of regional, religious, cultural, or linguistic groups.

#### **Institutional Design of Payments for Ecosystem Services**

William Clark

This projects sought to understand how recent innovations in the gover-

nance of natural resource systems can be modified so as to promote outcomes that are not just effective and efficient, but also equitable. The central governance challenge for all such systems is that extraction of resources by individual users (e.g., farmers, fishers, forest users) can impose externalities on the larger society (e.g., decreased protection from floods, erosion, pollution and other so-called “environmental services”). Governments therefore intervene to restrict or regulate users’ options in order to increase overall efficiency with which the resource system is utilized. The equity dimensions of such efficiency-enhancing governance interventions are frequently overlooked. In cases where the primary resource extractors tend to be poor, stateless, or otherwise under-empowered, and the beneficiaries of environmental services related to those resources are relatively rich and powerful, the common result is that overall efficiency is achieved at the cost of accentuating rather than mitigating inequalities. The project focused on the innovative governance experiments in “payments for environmental services” that are being introduced around the world as an alternative to the regulatory approaches. Through a comparative analysis of cases from a variety of national settings, the project attempted to understand how variation in the equity of outcomes resulting from such “payments for services” arrangements are shaped by the particular institutions and procedures employed in their governance. The project was directed by William Clark at Harvard’s Center for International Development.

### **Deliberation and Accountability in the European Union: An Empirical Evaluation of Two Experiments Aimed at the Democracy Deficit**

Pepper Culpepper and Archon Fung

Many citizens of nation-states around the world have the perception that globalization has taken some political issues off the table and that their votes are disconnected from the governance choices that affect their lives—about market liberalization, social protection, and the limits of citizenship. Nowhere is this disjuncture more acute than in the European Union. In that transnational governance structure, member-states address collective problems, yet the citizens of Europe’s nations have little or no say beyond their votes in national elections. In those elections, different views and prescriptions of Europe seldom rise to the level of disputes between the mainstream political parties of the left and right. By some estimates more than three-quarters of the new laws enacted in EU member-states are driven by standards established in Brussels, yet European citizens have been unable to vote on this governance structure, except in the form of periodic plebiscites. EU scholars debate this problem under the rubric of the democracy deficit.

The long-simmering debate on the democracy deficit was reignited in 2005 by the twin rejections of the EU constitution in referendums held in France and the Netherlands. These events created much heat but little light; proponents and

opponents of further democratization in Europe used the defeats to buttress their respective views. Following these defeats, the EU entered a formally announced “period of reflection” to consider how the Union should move forward. As part of this initiative, the European Commission (the executive arm of the EU) proposed a “Plan D for Democracy, Dialogue, and Debate” with European publics. As part of this plan, the Commission is underwriting two large-scale experiments that use deliberative approaches to incorporate public participation in the politics of the European Union. This research project evaluated the functioning and impact of these two deliberative experiments. The first was led by the King Baudouin Foundation (KBF) in Belgium and the second by Notre Europe, a French think tank and foundation.

### **Diffusion of Innovation Awards**

John Donahue

In a phrase coined by Lord Bryce and popularized by Justice Louis Brandeis, America’s separate states are seen as “laboratories of democracy,” giving the United States fifty channels for generating fresh new approaches to public problems. The potential advantages are apparent. But how fully this potential is realized depends on how rapidly and reliably innovations developed in each “laboratory” diffuse to other states. The literature on the diffusion of innovations is limited, and rather stale. The archives of the Innovations in American Government offer a promising but mostly untapped data set for exploring the replication of valuable innovations. Alan Gerber of Yale and Eric Patashnik of Virginia asked John D. Donahue to write a paper that exploited the history of Innovations to test alternative hypotheses about the diffusion of state-level innovations, for a major conference and book project on “American Democracy and the Political Economy of Government Performance.” A research award from the Ash Institute made it possible for him and a team of research assistants to identify state-level award winners and to trace the pace and pattern of their diffusion. In the summer of 2004, Donahue examined their implications in light of “competitive,” “idiosyncratic,” and “collegial” models of state policy innovation for a November conference and eventual publication.

### **Accountability and Representation in Negotiated Contexts**

Alnoor Ebrahim

This project provided a systematic account of how a select set of Civil Society Organizations (CSOs) and International Financial Institutions (IFIs) negotiate frameworks of accountability, both in their internal practices and in their interactions with one another, and how their interactions with government agencies shape the CSO-IFI relationship. The research focused on policy-level interactions between CSOs and IFIs, rather than project-level interactions. While there are important accountability mechanisms at the project-level that are worthy of scrutiny, the proj-

ect found that accountability at the policy-level is even less understood, and is complicated by the crucial role of national governments. How do CSOs seek to gain influence over national poverty policies? What is the role of IFIs such as the World Bank (WB) or the Inter-American Development Bank (IDB) in opening up, or narrowing, political space for civil societies to influence their own governments? How might accountability be understood, negotiated, and enhanced in such policy contexts?

### **The Effects of Countries' Openness to International Migration and Trade on their Level of Democracy**

Jeffrey A. Frankel

This project is an econometric study across countries of the determinants of several measures of the level of democracy. The focus was on two international dimensions: openness to trade and openness to migration. The first question was whether countries that engage in more trade, and more movement of people across borders, are also on average more democratic. One might expect that openness in the sense of low barriers to economic transactions with the rest of the world would lead to openness in the sense of an open democratic society. But even if such a correlation is supported by the data, this project looked much harder at the direction of causality.

One possibility is reverse causality, running from democracy to international openness instead of the other way around: a government that allows its people a lot of freedom domestically could find it hard to limit their ability to enter into voluntary transactions with those in other countries. A democratic society could not have built the Berlin Wall to keep people from leaving, or cut itself off from trade the way Albania and Burma did in the 1970s and 1980s. Another possibility is that trade and migration have positive effects on democracy, but that these effects are entirely mediated by income. The argument would be that trade is one important source of economic growth, and that economic growth eventually leads people to want democracy—look at the evolution of Korea and Taiwan—but it is conceivable that an outward-oriented development strategy does not lead to democracy any faster than any other strategy that delivers the same economic growth. These are propositions worth testing. This research addressed the causality issues, by looking at geographic determinants of trade.

### **An Analysis of California Speaks**

Archon Fung

The objective of the research was to record baseline levels of support for health care reform among a cross-section of Californians and monitor change in their views as a short-term and long-term consequence of engagement in this deliberative experiment.

This research was an analysis of “California Speaks,” a statewide deliberative forum on health care reform that took place on August 11, 2007 in eight counties in California, involving over 3500 Californians. Professor Fung used the deliberative event to examine several broad sets of questions. First, what do Californians want in health care policy reform and how does what they want change by engaging in focused deliberations about different policy alternatives? Second, how does highly visible public deliberation affect policy-makers and policy elites? That is, do some of them alter their positions to respond to articulated public values and preferences? Do elites attempt to manipulate deliberations? Do elites “spin” deliberation to suit whatever (prior) policy agendas they happen to have?

### **Embedded Deliberation: Transformations in Local Democracy**

Archon Fung

“Embedded Deliberation: Transformations in Local Democracy” examined governance in several communities that have incorporated, or *embedded*, regular processes of citizen participation and deliberation in their process of public decision-making. Embedded deliberation contrasts with most intentional efforts to create public deliberation that convening one-off events or processes. Attempts at embedded deliberation aim to shift the character of decision-making in part of a local community permanently to a more participatory and deliberative mode, and thus displace or supplement other, perhaps professionally-driven, insulated, or hierarchical modes of decision. Its central question was whether, and how, such embeddedness alters the character of civic interaction, political power, and policy-making. In particular, when, and how, does deliberation operate to bring new interests and perspectives to bear on public issues? Or, do ostensibly deliberative practices reinforce pre-existing arrangements and inequalities? Does embedding public participation alter policy outcomes? Finally, what are the costs, in terms of time, excess conflict, or inefficiency, of embedded deliberation?

This study examined three cases of embedded deliberation. The first is a shift to neighborhood planning under the Minneapolis Neighborhood Revitalization Program. That program allocates \$400 million over twenty years to projects developed by neighborhood associations in the city. The second case examined an approach that does not decentralize discussions to the level of neighborhoods, but rather attempted to create community-wide discussions that involve local elites, policymakers, and average citizens from diverse quarters of particular communities under the “Study Circles” model of small group deliberations on particular issues that occur over a period of several months. Moving upward in scale one degree, the third case examined methods of public deliberation that have been used to address problems afflicting regions of states that encompass multiple municipalities. In West Virginia and Arkansas, for example, organizations have used deliberative methods developed by the National Issues Forums (NIF) and Study Circles to address prob-

lems of regional public health, growth management, and state education.

### **Going Local: Decentralization, Democratization, and the Promise of Good Governance**

Merilee S. Grindle

Throughout the developing world, two decades of political, administrative, and fiscal decentralization have left behind a daunting legacy for local governments. Long bereft of authority and resources by highly centralized governments, localities across the globe are now grappling with how to take on new responsibilities for economic development, public service provision, and fiscal management—all in the context of new democratic institutions.

While researchers have focused considerable attention on the causes and consequences of decentralization policies at the national level, we know relatively little about how local governments have responded to the challenges inherent in their new mandates or how initiatives for stimulating local development, providing essential services, and managing local affairs are generated and pursued.

Through a comparative study of 30 randomly selected municipalities in Mexico, *Going Local* considered what happens in the wake of decentralization. For example, when local governments are charged with new responsibilities and resources, how do they respond? What factors encourage mayors, councilors, and local administrators to invest in local economic development, improved service provision, and more responsive government? What conflicts, interactions, and learning characterize the politics and process of local governance reform? How do citizens become involved in promoting and sustaining better government?

The study assessed four hypotheses about the dynamics behind local government response to new mandates: partisan political pressures; the impact of capacity building and state modernization; leadership and public “entrepreneurship;” and social capital endowments. Thus, the study was centrally concerned with the origins of improved performance and asks how, why, and when better local governance emerges in newly democratic settings.

### **Crime and Disorder Reduction Partnerships in England and Wales**

Steve Kelman and Irwin Turbitt

This research assessed multi-organizational collaborations called “Crime and Disorder Reduction Partnerships” (CDRP’s) in the United Kingdom. The topics of organizing collaboration across government organizations (“connect the dots”) and between government organizations and private ones (“networked governance,” “collaborative governance,” e.g. Goldsmith and Eggers, 2004) are now among the most-discussed questions in the U.S. as well as elsewhere, involving the performance of public institutions and the achievement of public purposes.

CDRP’s are local level organizations whose boundaries are those of local

authorities. The Crime and Disorder Reduction Act (1998) required CDRP’s to be established in every local authority area in England and Wales (N=375). By statute, CDRP’s must include the local authority, the police, the fire service, and the local branch of the National Health Service. (Note that neither police nor fire is part of local government, but are separate organizations, funded by the central government. The National Health Service, the central government body responsible for delivery of health care, has local units that are independent of local authorities but have coterminous boundaries. In terms of possible contributions to crime and disorder reduction, it should be noted that local authorities have responsibilities for services that may have an impact on crime, such as street lighting and litter removal, and for “trading standards,” including enforcement of laws against underage liquor purchases from stores and pubs). The implementing regulations also encourage partnerships to include other organizations such as the Probation Service, local public housing authorities, and voluntary organizations. Significant central government funding to support the work of CDRP’s, particularly central crime/disorder reduction initiatives designed to be done in partnership, began in 2001, via the Home Office, which has overall responsibility for crime and for the police.

The purpose of this research was to study systematically the impact of various management/leadership/organizational design practices of CDRP’s—i.e. how the CDRP is led and managed as a multi-organizational collaboration—on the policy outcome it is designed to address: crime reduction.

### **The ‘Targets’ Initiative in the UK: Improving Public Sector Performance and the Terms of Democratic Deliberation**

Steven Kelman

During the past several years the most aggressive effort in the history of government has been made in the United Kingdom to use an innovative public management tool—the use of performance metrics and performance goals in the management of public sector organizations—both to improve the performance of public-sector organizations and also to recast some of the terms of democratic deliberation in the UK. As a pioneer in this innovation, the UK example may provide lessons for other governments as they seek to further implement this innovation. Professor Kelman’s research, largely focusing on interviews with managers within UK government, sought to discover how United Kingdom central government institutions have gone about trying to influence the performance of frontline organizations that must actually meet these targets. A special emphasis was on change and intra-governmental learning over time, as well as an exploration of evolving relationships between the central government (especially the Prime Minister’s Delivery Unit) and individual departments.

In a smaller project, Professor Kelman examined the impact of the targets

initiatives on British governance. Searching both quantitatively and qualitatively, he sought to describe and analyze the evolution of press and parliamentary attention to performance metrics in reporting on government and holding it to account. Lastly, he examined the evolution in ways the government has communicated target information to the public.

### **The Rules of the Game**

Alex Keyssar

Politics in the United States are governed by a series of rules that have evolved over history. From the “winner take all” allocation of electoral votes to the drawing of Congressional district boundaries, these rules structure the game and often determine who wins and who loses. While many of these rules have recently entered public debate, little is known about their history: when and why they were created, and how they have changed over time. Alex Keyssar undertook a research project that seeks to expose the history of these rules, and in so doing, change the way they are perceived.

In studying these rules, Keyssar focused on particular historical actors and moments and sought to shed light on who pressed for particular types of change, why they acted, and whose interests they served. In so doing, the study inescapably became an exploration of the ways in which the two dominant political parties have managed to institutionalize their own presence, to the disadvantage of all other political organizations. It also examined the ways in which ethnic and racial conflict has shaped political jurisdictions and procedures at the local and national levels.

The policy purpose of this historical research was to suggest the mutability of political rules in order to promote discussion and debate concerning potential alternatives; the history ultimately reminded us that, in a democracy, we have the power not only to vote in elections, but to help shape the rules and laws that govern those elections.

### **Workshop on the Role of Bargaining, Negotiation, Compromise, and Voting in Deliberative Democracy**

Jane Mansbridge

Is an integration of deliberative democracy and pluralism possible? Although several theorists have written on the need to integrate disagreements on moral questions with deliberative theory (e.g., Thompson, Chambers, Besson), conflicts in material interest are almost universally believed to lie outside the deliberative frame. The large corpus of deliberative democratic thought considers bargaining and negotiation over conflicting material interests orthogonal to or antithetical in spirit to deliberation, even though in practice, many legislative and international interactions mix together a search for the common good and self-inter-

ested bargaining. Voting itself has been construed as antithetical to deliberation (Arendt). Can we develop deliberative norms for bargaining, negotiation, compromise and voting? Or should we think of one or more of these processes as antithetical to deliberation?

Workshop participants have written provocatively about the right relation between the search for the common good and the (temporary) settlement of questions of conflicting interests through various mechanisms, including mechanisms like voting that involve the use of coercive power (the threat of sanction or the use of force). Each has written about the institutions appropriate for achieving one or more of these goals. No one, perhaps, has developed an unshakeable position on the issues, although it may turn out that classic deliberative (Habermas, Rawls, Cohen, Marti) and republican (Pettit) views coherently oppose neo-pluralist (Mansbridge) or agonistic views. An approach foregrounding respect for others (Thompson) may make most sense of both. This workshop was intended to provide a flexible deliberative forum in which to discuss these issues in depth. (As no final decision will bind all participants, the deliberation will be aimed solely—insofar as we all can manage—at understanding.)

### **Does Consensus Democracy Generate Political Stability in Plural Societies? Testing the Lijphartian Thesis**

Pippa Norris

Developments in Iraq and Afghanistan highlight the considerable uncertainties surrounding the process of designing new constitutions and electoral systems, and how little is known about the most appropriate institutional arrangements to achieve political stability in deeply-divided plural societies. The prime aim of this research project was provide more rigorous empirical evidence to test the Lijphartian thesis that consensus institutions (particularly PR electoral systems) promote the accommodation of ethnic interests and thereby contribute towards greater political stability (and good governance) in plural societies.

The project used systematic cross-national evidence worldwide to classify nations into six types according to (i) the degree of ethnic fractionalization (heterogeneous/homogeneous) and (ii) the type of electoral system (majoritarian, combined, proportional). The key contrast concerned the political performance of the countries within each category. In particular, Arend Lijphart claimed that, all other things being equal, the *plural-majoritarian* countries such as Ethiopia, Nigeria, and Uganda (which have high ethnic fractionalization AND majoritarian electoral systems) should prove most unstable and vulnerable to government breakdown and even state failure. By contrast the countries such as Benin, South Africa and Suriname that are *plural-PR* (sharing equally heterogeneity and yet with proportional electoral systems, as a proxy for consociational institutions), should prove more successful and stable. The performance of each category was evaluated using mul-

tiple indicators of good governance and democracy, such as the rule of law, levels of political participation and measures of political stability.

### **How Political Affirmative Action for Women in India has Affected Policy Outcomes, Female Participation, and the Extent of Gender Bias**

Rohini Pande

Women remain underrepresented in political leadership positions throughout the world. Compared to education, economic opportunities, and legal rights, political agency (participation and representation) saw the least progress towards equality between 1995 and 2005: As of January 2005, only 17 countries had met the target (set by the UN Economic and Social Council in 1990) of having 30 percent or more women in national legislative seats; and only 15.9 percent (compared to 13.5 percent in 2000 and 9 percent in 1987) of seats in national legislative assemblies were held by women, (United Nations, 2005).

This gender gap in political representation coexists with a well established gender gap in political views: women and men have different policy preferences with women more likely to support liberal policies, in particular child related expenses (Lott and Kenny (1999), Edlund and Pande (2001) and Edlund, Haider and Pande (2003)). Evidence also suggests that compared to men, income or assets in the hands of women increases spending on children (Lundberg, Pollak, and Wales (1997), Thomas (1990), Thomas (1997), Duflo (2003)). Taken together, these facts suggest that the policy decisions made by the world's predominantly male policy-making bodies may not reflect the policy priorities of women, including the well-being of children. In order that the makeup and decisions of the legislative bodies reflect more closely the makeup and priorities of their populaces, 81 countries have adopted political reservations, policies that guarantee greater representation of women in national and local government.

This empirical project examined how political affirmative action for women in India has affected policy outcomes, female participation, and the extent of gender bias. In what has been called an “epic social experiment” (Dugger, 1999), India amended its constitution in 1993 to mandate that one third of rural village council presidencies in every electoral cycle be reserved for women. A unique feature of this policy is the random selection of villages which are exposed to a female leader. This project involved the collection and analysis of household survey data, data from village meetings and experimental data on gender discrimination. The randomization of female representation across villages implies that we can estimate the impact of political affirmative action by comparing differences in outcomes across villages with and without political reservation.

### **Cross-Sector Pollination of Ideas and Approaches**

Todd Pittinsky

One important source of innovations in democratic governance is the cross pollination of business approaches to government. A key way the public and private sectors are bridged is through the career mobility of individual leaders who cross sectors to work in the public sector—in elected and appointed roles – after making contributions in the private sector. Cross-sector pollination of ideas and approaches hold great promise for innovations in government. Although many individuals seek to cross sectors in their careers, there has been little research of individual experiences. With funding from the Ash Institute, Assistant Professor of Public Policy Todd L. Pittinsky and Professor of Public Service, and Director of the Center for Public Leadership, David Gergen conducted in-depth research of business leaders who transitioned into government roles for significant periods—four years or more. The investigators interviewed a sample of forty accomplished politicians—including U.S. Senators, Governors, and Mayors of large US cities—who had successful business careers, and later entered public service. They analyzed this qualitative data to identify the challenges and success strategies for cross-sector career transitions. One outcome of the research was a practitioner-oriented article to facilitate and encourage the transition of private sector leaders who, in the future, may wish to make contributions as public leaders.

### **Social Cohesion Programs as Innovative and Sustainable Means for Living Together Peacefully in Pluralist Societies**

Todd Pittinsky

This project proposed to research, analyze, and review democratic governments' most innovative programs for social cohesion. Establishing benchmarks and expose best practices of social cohesion programs, Professor Pittinsky is developing a scholarly research manuscript that illustrates innovative and successful examples of social cohesion programs throughout the world. Specifically, the manuscript 1) represented government programs operating in wide range of sectors, social groups, and political situations; 2) examined, through a social scientific perspective on intergroup relations, the underlying mechanisms of each program; 3) provided a typology for successful and innovative government social cohesion programs; and 4) set the stage for a first-of-its-kind collaborative conference for social cohesion program leaders.

### **Curbing the Undue Influence of ‘Power Money’ in Electoral Democracy: Which Institutions Work?**

Alejandro Poiré

How can we curb the influence of ‘power money’ in electoral politics? In contemporary societies, efforts to strengthen democratic governance, social justice

and the rule of law must take into account the role played by campaign and party finance in democratic representation. This is most critical for newly democratized countries, where institutions are likely to be more fragile and the power of moneyed interests most corrupting. The issue of political finance has become an ever-present concern of analysts and politicians in the US and the world over. However, even recent surveys of the field recognize that public debates over money and electoral politics too frequently lack a sound empirical and theoretical grounding.

To address the impact of campaign finance regulations on democratic representation, this project constructed a yearly database of political finance data from the 32 states of Mexico. The data has never been collected before, and this project allowed for a systematic analysis of the impact of these regulations (which include different levels of public finance, campaign spending limits, limits on individual and total contributions and disclosure/auditing standards) on several variables of interest, such as electoral competitiveness volatility, party system fragmentation, emergence and success of new parties in legislature, etc.

This project provided much needed evidence to substantiate some of the claims being made about political finance institutions in international and US policy debates. It helped us learn which institutions work and which don't in stopping corrupting influences in electoral representation, and in so doing, helped us find ways of making parties more responsive to citizens' concerns.

### **Justice and Sovereignty in the New Global Order**

Mathias Risse

Our world has become ever more interconnected politically and economically, a global society still based on local territorial sovereignty, but whose fate is ever more influenced by transnational and transgovernmental networks, structures aptly called the global political and economic order. This order contains new associative structures—institutions, regimes, movements whose character is normative because they generate demands on individuals and institutions. Political thought must be responsive to the associative conditions under which it is formulated: in particular, questions of justice address who can legitimately make claims on whom, and, at least according to a family of views that the author favored, the answers depend on what associative structures there are. If so, the guiding question for understanding “Justice and Sovereignty in the New Global Order” is which associative relations that are, or in the future may be, contained in that order generate norms of justice. Part I of this study offered accounts of two norm-generating relationships, one quite exclusive and one including all of humanity. The exclusive relationship binds together individuals in one state. The all-inclusive one is the relationship of being co-owners of the world's resources. An area of application is immigration: how much access must states grant given that states per se are legitimate, but also given that their territory is part of the resource-base collectively

owned by humanity? Part II explored the new global order, assessing what structures hold in addition to those two. The author's starting point was an investigation of whether international trade generates norms. Yet individuals and institutions are not just tied together by trade-regimes, but also through structures embodied by the UN, World Bank, IMF, etc., whose norm-generating role also needed to be explored. Part III looked at the extent to which the global order satisfied the duties of justice and discussed a claim one sometimes hears from globalization opponents, namely, that that order harms the poor. The author's general answer was that the global order does much better on this score than opponents allow.

### **Civic Engagement in America**

Thomas Sander

The Ash Institute funded the Saguro Seminar for a project on how social cohesion and democratic government can be enhanced in a context of growing ethnic diversity. The project examined this question through large-scale quantitative analysis of U.S. data, through community field studies, through examination of international data, and through potential success stories where ethnic diversity was associated with unusually high levels of civic engagement and social capital.

### **Constitution-Making in Plural Societies**

Frederick Schauer

The recent process of constitution-making in Iraq has focused the world on an important but rarely analyzed topic: How, if at all, is constitutionalism to be created and entrenched in severely divided societies, and how are constitutions to be created (and approved) in such societies? In Iraq the vastly divergent interests of the Sunnis, the Shiites, and the Kurds made it clear that a truly successful constitution must both involve and respect all of the major constituent groups in a severely divided and pluralistic society, and it is too soon to know whether the process will succeed. But it is not too soon to recognize that the problem is a recurring one, and thus not too soon to try to draw lessons from previous examples of constitution-making under such conditions of pluralism, as in Canada, South Africa, and many other nations. In doing so we will not only increase our understanding of what has gone on before, but will also be able to extract valuable lessons from past successes and failures, lessons that may facilitate future exercises of constitution-making under increasingly common conditions of profound cultural diversity. Moreover, there is an important question to be addressed about the relationship between constitutions and cultural division: Are constitutions the solution, even if only a part, to cultural division, as many people believe, and as the American experience may suggest? Or are constitutions likely to entrench with relatively permanency some cultural divisions, making it harder over time to transcend them? Or does a successful constitution presuppose and require antecedent social agreement, as Russell

Hardin and others have argued, suggesting that viewing constitutions as a solution to cultural division may in the final analysis be futile.

### **How Not to Radicalize Islam: Religion and Good Governance in Africa**

Cindy Skach

Given the recent emphasis within American foreign policy circles to worry about lasting solutions to security and democratic stability within the Islamic world, this project shaped debates in this area by identifying both successful and failed attempts to ‘modernize’ and ‘secularize’ Islamic legal and state structures, and made them compatible with democratic governance.

This project involved an ethnography of the islands of the Comoros in the Mozambique Channel, the only territory of the European Union that is 99 percent Muslim, and where statebuilding in the name of ‘modernity’ risks radicalizing Islam. Through formal interviews with key public officials, judges, lawyers and Islamic judges (cadis); through consultation of historical legal documents on the islands and in the Archives d’Outre Mer in Aix-en-Provence; and through videotaped recordings of over twenty hours of Islamic court proceedings on these islands, Professor Skach charted the changing patterns and practices of Islamic and French republican laws and state institutions, paying special attention to the political coalitions favoring certain legal institutions, and advocating the abandonment of others.

At the invitation of the President of the Tribunal Supérieur d’Appel, Professor Skach observed innovative legal hybrid institutions on these islands: courts that follow French republican law and Islamic law, and are presided over by a French secular judge and two Islamic judges. These multiple research sites, methods, and techniques provided a rich tapestry of data that helped us understand how the rapid and contradictory legal changes associated with the ‘modernization’ of African states are being perceived, internalized, and increasingly resisted by various social forces and political coalitions that are attempting to implant, with foreign funding, more radical forms of Islam.

This research suggested that a strict form of secularism, the separation of church and state as it has been practiced by member states of the European Union such as France, and contracting states of the European Convention of Human Rights, such as Turkey, may exacerbate security dilemmas in certain countries post September 11. This is due to the fact that they pose the risk of radicalizing, rather than moderating, Islam by forcing an assimilation that is resisted by organized, foreign-funded radical groups. This research suggested that legal fusions, such as the unique, hybrid, “Chamber of Muslim Annulment,” presided by a French civil law judge and two cadis, where cases are decided according to both civil law and the chariâ’ah, are the most appropriate for building modern forms of state that incorporate, rather than isolate, practicing Muslims into the democratic process and into democratic institutions.

### **The New Politics of Displacement**

Kim M. Williams

We have become accustomed to understanding the path of political succession in urban America as a process in which blacks replace whites. The current wave of immigration complicates this picture considerably. My research extends Peter Eisinger’s 1980 book, *The Politics of Displacement: Racial and Ethnic Transition in Three American Cities*, which examined the response of white elites “displaced” by blacks in city government in the early 1970s. Starting with Eisinger’s framework for understanding how displaced whites adapt, this project focused on what the author believed to be the next chapter in the story: the displacement of blacks by Latinos.

How, and under what circumstances, do black elites adapt to urban landscapes transformed by the influx of Latinos? Ambivalence seems to prevail. On one hand, Latino population growth has yet to translate into commensurate political power, which perhaps serves to mitigate some aspects of black displacement. On the other hand, surely, some blacks are appalled at the gross under representation of Latinos in American political life given their own history of disfranchisement. For Eisinger, displacement occurred when a black mayor supplanted a white one. Current circumstances render this definition impractical. This study distinguished between four displacement domains (demographic, political, economic, and ideological) operating at different levels of geography. This served as the basis for a typology that situates state and local black displacement trends in a national context. Presumably, the circumstances of Latino succession and black responses to it are highly variable across cities, while absolute levels of previous empowerment shape the expectations and subsequent competitive orientations of urban minorities in general. The author conducted fieldwork in six cities to investigate the modes of black adjustment from the perspective of displaced black elites. Theories of racial and ethnic succession lag behind present-day realities. If we are to understand the dynamics of cooperation and conflict in transitional urban settings and beyond, then we need to know more about the patterns of black adjustment and the conditions that govern them.

### **Systematic Factors in Disaster Response**

Michael Woolcock

The magnitude of natural disasters such as the December 2003 earthquakes in Iran, the Asian tsunami of December 2004, and New Orleans’ Hurricane Katrina in August 2005 elicited generous financial responses from concerned citizens, aid agencies and governments, despite universal frustration over the slow pace of the initial relief and subsequent reconstruction efforts. Billions of dollars have rightly been committed to these clear and present humanitarian emergencies, yet the responses from the various members of the well-intentioned and amply-

resourced development community have too often been found to be wanting.

From May 1-5, 2006, a small group of front-line practitioners from three different development agencies (Oxfam, UNDP, and the World Bank) working in two different countries (Indonesia and Sri Lanka) convened with a number of Harvard Kennedy School faculty to discuss their first-hand experiences with implementing responses to the Asian tsunami of December 26, 2004. Their objective was not to itemize the well-known litany of coordination problems associated with these efforts, nor to be wise after the fact, but rather to focus on how combinations of factors combined to yield consistently disappointing results. More constructively, the retreat sought to identify pockets of success and to learn the lessons from them. Given the likelihood of future disasters and the ongoing challenge of fulfilling commitments to international development goals, this retreat offered more serious reflection on the systemic factors in need of change if more effective responses are to be crafted and enacted.



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