

Sociology SOC2960N
GOVERNANCE IN DEVELOPMENT

COURSE INFORMATION:

Class Meetings:

Fridays 14:00 – 17:00
Maxcy Hall, Room 108

Instructor:

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Office Hours: Fridays 11:00 – 12:00, and by appointment

This seminar examines major shifts in the theories and empirical realities of governance in low and middle-income countries. It focuses on the move away from governance models based on 'hierarchy,' built on a centralized 'command-and-control' state and national-level interest intermediation, to 'market' or 'network' models in which diverse state, civil society, and private actors engage in multi-level public decision-making. It examines the dimensions of these changes through different analytic lenses and comparatively across national and sub-national contexts: the sources of these changes, the nature of institutional change in specific governance areas, organized civil society, and forms of participatory or collaborative governance the embody network models. Guiding the discussions is a concern with the consequences of major shifts in governance models for the distribution of political power and public authority across the triad of relations at the center of governance: those between citizens, organized civil society, and the state.

The course has four parts. Part I. uses case material from Africa, Latin America and South Asia to look at the different forms the shift away from the administrative or developmental state model has taken in different national contexts. It runs through competing explanations for these changes: economic globalization, domestic coalitional politics and institutional configurations, and the organization and strength of local civil societies. Part II. focuses on theories of institutional change and the experience of public sector reform in the areas of health and social assistance in Delhi, Mexico City, and São Paulo. It examines how new institutional economics, historical institutionalism, and social choice conceive and theorize institutional stabilization and change.

Part III. looks at the growing and multifaceted role organized civil society plays in contemporary governance. The sociology of organizations provides the basis for a critical reading of two influential conceptions of civil society and their relation to the state – social capital / public sphere – and the argument that new (non-partisan) politics within civil society can democratize, or even supplant, the representative institutions in democratic governance. The varying nature of empirical civil societies is discussed in relation to Brazil, Mexico, and India. Part IV. focuses on diverse structures of participatory or collaborative governance that embody network models. Discussions will center on the conditions under which these structures have emerged, how they have sought to address political inequalities in society (through institutional design in particular), and how they have sought to address unanticipated and novel forms of political representation that they have spawned. Case studies are drawn from a wide range of national and sub-national contexts.

Participation in the seminar is open to all students and there are no pre-requisites.

Requirements:

1. Active class participation – 30%. Each week a group of students will produce discussion questions about the readings. These questions should be distributed to the class on the Thursday immediately before Friday's class. All students are expected to have read the week's materials and actively participate in the seminar discussion.
2. Reading notes – 30%. Students will turn in 3 reading notes, not exceeding 4 pages each, which provide a critical reaction to a week's readings. The notes should develop concise but careful discussions of (i) an idea (a concept, theory, argument) that has provoked the imagination and (ii) a critique of an idea that appears analytically weak or not useful. The notes should not provide an overview or summary of the readings.
3. Research paper – 40%. In a maximum of 25 pages (double spaced) students will pose a clear research question, identify the trade-offs in using different analytic perspectives to explore the question, and develop an approach to exploring the research question that takes into account the informational requirements of the question and perspective selected (what do we need to know in order to explore the question from a particular perspective).

Readings

Books available for purchase:

Manuel Castells. *The Rise of the Network Society* (Wiley-Blackwell, 2000-04). Vol 1 & 2

Robert Kaufman and Joan Nelson, eds. *Crucial Needs, Weak Incentives: Social Sector Reform, Democratization, and Globalization in Latin America* (W.Wilson Center Press and Johns Hopkins UP, 2004).

Ian Shapiro, Stephen Skowronek, and Daniel Galvin. *Rethinking Political Institutions: The Art of the State* (New York UP, 2006).

Jackie Smith, *Social Movements for Global Democracy* (Johns Hopkins UP, 2008).

Course Schedule & Readings

Wk 1. Introduction

Manuel Castells. *The Rise of the Network Society* (Wiley-Blackwell, 2000-04). Vol. 1: Prologue (1-27) & Ch.6 (407-459); Vol.2, 2nd edition: Ch.5 (303-366)

R.A.W Rhodes. The New Governance: Governing without Government, *Political Studies* XLIV (1996), 652-667.

Paul Hirst, Democracy and Governance. In J Pierre, ed., *Debating Governance* (Oxford UP, 2000). pp.13-35

Christopher Ansell & Jane Gingrich. Reforming the Administrative State. In BE Cain, RJ Dalton & S E Scarrow, eds., *Democracy Transformed? Expanding Political Opportunities in Advanced Industrial Countries* (Oxford UP, 2003). Pp. 164-191

Recommended

World Bank. *Governance and Development* (World Bank, 1992).

Donald F. Kettl. *The Transformation of Governance*. (Johns Hopkins UP, 2002). Preface & Ch.6-7 (ix-xii , 118-172)

Erik Swyngedouw. Governance Innovation and the Citizen: The Janus Face of Governance-beyond-the-State, *Urban Studies* 42:22 (2005), 1991-2016.

Thomas J. Biersteker. The "Triumph" of Neoclassical Economics in the Developing World. In JN Rosenau and EO Czemiapl, eds., *Governance without Government: Order and Change in World Politics* (Cambridge UP, 1992). Pp.102-131.

Renate Mayntz. New Challenges to Governance Theory. In HP Bang, ed., *Governance as Social and Political Communication* (Manchester UP, 2003). pp.27-40

Wk 2. Hierarchies: The Developmental State

Chalmers Johnson. "The Developmental State: Odyssey of a Concept." In M. Woo-Cumings, ed., *The Developmental State* (Cornell UP, 1999). Pp. 32-60

Ben Ross Schneider. "The *Desarrollista* State in Brazil and Mexico." In M. Woo-Cumings, ed, *The Developmental State* (Cornell UP, 1999). pp.276-305

Michael Mann, The Autonomous Power of the State: Its Origins, Mechanisms, and Results. In John A. Hall, ed, *States in History* (Blackwell, 1986). Pp. 109-136.

Charles Tilly. "War Making and State Making as Organized Crime," in Evans, Rueschemeyer and Skocpol, eds., *Bringing the State Back In* (Cambridge UP, 1985). Pp. 169-189.

Recommended

Matthew Lange & Dietrich Rueschemeyer, eds. *States and Development* (Palgrave, 2005).

Charles Tilly. *Coercion, Capital, and the European State, AD 990-1990*. (Blackwell, 1990).

Charles E. Lindblom. *Politics and Markets* (Basic Books, 1977). Ch. 1-3

Bruce D. Porter. *War and the Rise of the State: The Military Foundations of Modern Politics* (Free Press, 1994).

Wk 3. The State-in-Society

Joel S. Migdal. The State in Society: An Approach to Struggles for Domination. In J Migdal, A Kohli, and V Shue, eds., *State Power and Social Forces: Domination and Transformation in the Third World* (Cambridge UP, 1994). Pp.7-36

Theda Skocpol. *Protecting Soldiers and Mothers: The Political Origins of Social Policy in the United States* (Harvard UP, 1995). pp. xx-xxi, 1-11, 41-60

James C. Scott. *Seeing Like a State: How Certain Schemes to Improve the Human Condition Have Failed* (Yale UP, 1999). Introduction & Chap1-3, 10 (pp. 1-102, 342-357)

Peter Evans. Government Action, Social Capital and Development: Reviewing the Evidence on Synergy, *World Development* 24:6 (1996), 1119-1132.

Charles Tilly. Parliamentarization of Popular Contention in Great Britain, 1758-1834, *Theory and Society* 26:2/3 (1997), pp. 245-273.

Recommended

Peter Evans. The State as Problem and Solution: Predation, Embedded Autonomy, and Structural Change. In S Haggard and RR Kaufman, eds., *The Politics of Economic Adjustment* (1992). 139-181

Jon Pierre and Guy Peters. *Governance, Politics, and the State* (Palgrave, 2000). Introduction, Ch.1-3 (pp.1-70)

Joel S. Migdal. *State in Society: Studying How States and Societies Transform and Constitute One Another* (Cambridge UP, 2001).

World Bank. State-Society Synergy for Accountability: Lessons for the World Bank. World Bank Working Paper no.30 (World Bank, 2004).

Jan Kooiman, Societal Governance. In J Pierre, ed., *Debating Governance* (Oxford UP, 2000). pp.138-165

Wk 4 A Networked or Multi-Level Polity?

Christopher Ansell. The Networked Polity: Regional Development in Western Europe, *Governance* 13:2 (2002), pp. 279 – 291.

Charles Sable. Globalization, New Public Services, and Local Democracy: What's the Connection? In Sylvain Giguère, ed., *Local Governance and the Drivers of Growth* (OECD, 2005). Pp.111-132

Walter W. Powell. Neither market nor hierarchy: Network forms of organization, *Research in Organization Behavior*, 12 (1990), pp. 295-336.

R.A.W. Rhodes. Policy Network Analysis. In M Moran, M Rein, & RE Gooding, eds., *Oxford Handbook of Public Policy* (Oxford UP, 2006). Pp.425-447

Walter W. Powell et al. Network Dynamics and Field Evolution: The Growth of Interorganizational Collaboration in the Biotechnology Industry, *AJS* 110:4 (2005), pp.1132-1205.

Recommended

John Padgett. 2001. Organizational Genesis, Identity, and Control: The Transformation of Banking in Renaissance Florence. In J Rauch & A Casella, eds. *Networks and Markets* (Russel Sage, 2001). Pp.211-257

Francisco J. Granados & David Knoke. Organized Interest Groups and Policy Networks. In T Janoski, ed., *The Handbook of Political Sociology: States, Civil Societies, and Globalization* (Cambridge UP, 2005). Pp.287-309

Renate Mayntz. Common Goods and Governance. In A Heritier, ed., *Common Goods: Reinventing European and International Governance* (Rowman & Littlefield, 2002). pp. 15-28.

Wk 5 Transforming Governance: Liberalization and Decentralization

Anne O. Krueger. Government Failures in Development, *Journal of Economic Perspectives* 4:3 (1990): 9-23.

Henry Bienen and Jeffrey Herbst. The Relationship between Political and Economic Reform in Africa, *Comparative Politics* 29 (1966): 23-43.

John Williamson. What Washington Means by Policy Reform in Latin America. In John Williamson, ed., *Latin American Adjustment: How Much has Happened* (Inst. of International Economics, 1990).

Javier Corrales. Market Reforms in Latin America: Why they were done and why they were not so market-oriented. In JI Dominguez and M Shifter, eds., *Constructing Democratic Governance in Latin America* (Johns Hopkins UP, 2003). Pp. 74-99

Stuart Corbridge & John Harriss. *Reinventing India: Liberalization, Hindu Nationalism and Popular Democracy* (Polity, 2000). Ch.7 (pp. 143-172)

Recommended

Steven Friedman & Caroline Kihato. South Africa's Double Reform: Decentralization and the Transition from Apartheid. In P Oxhorn, JS Tulchin, and AD Selee, eds., *Decentralization, Democratic Governance, and Civil Society in Comparative Perspective* (Woodrow Wilson Center Press, 2004). Pp. 141-189.

Markus Kurtz & Sarah M. Brooks. Embedding Neoliberal Reform in Latin America, *World Politics* (forthcoming January 2008).

Eliza Willis, Christopher da C. B. Garman and Stephan Haggard. The Politics of Decentralization in Latin America, *Latin American Research Review* 34:1 (1999), pp. 7-56

M. Victoria Murillo. From Populism to Neoliberalism: Labor Unions and Market Reform in Latin America, *World Politics* 52 (2000), 135-74.

Wk 6 Social Sector Reform in Latin America

Robert Kaufman and Joan Nelson, eds. *Crucial Needs, Weak Incentives: Social Sector Reform, Democratization, and Globalization in Latin America* (W.Wilson Center Press and Johns Hopkins UP, 200?).

Ch.1 & 2, 6, 9, 16 (1-64, 155-188, 249-282, 473-519)

Recommended

Merilee Grindle. *Going Local: Decentralization, Democratization, and the Promise of Good Governance* (Princeton UP, 2007).

Nita Rudra. Globalization and the Decline of the Welfare State in Less-Developed Countries, *International Organizations* 56 (2002): 411-445.

Klaus Segbers, Simon Raiser, and Krister Volkman. *Public Problems – Private Solutions? Globalizing Cities in the South* (Ashgate,).

Marcus Kurtz. Understanding the Third World Welfare State after Neoliberalism: The Politics of Social Provision in Chile and Mexico, *Comparative Politics* 34:3 (2002), 293-313

Wk 7 Institutions and Institutional Change

Ian Shapiro, Stephen Skowronek, and Daniel Galvin. *Rethinking Political Institutions: The Art of the State* (New York UP, 2006):

Ch.1 Claus Offe. Political Institutions and Social Power. (9-31)

Ch.2 Terry M. Moe. Power and Political Institutions. (32-71)

Ch. 6 Kathleen Thelen. Institutions and Social Change (135 -170)

Lauren Edelman, Christopher Uggen, & Howard Erlanger. The Endogeneity of Legal Regulation: Grievance Procedures as Rational Myth, *AJS* 105: 2 (1999), 406-54.

Evans, Peter. Development as Institutional Change: The Pitfalls of Monocropping and Potentials of Deliberation, *Studies in Comparative International Development* 38:4 (2004), 30-52.

Recommended

Walter W. Powell & Paul J. DiMaggio. Introduction. In WW Powell and PJ DiMaggio, eds., *The New Institutionalism in Organizational Analysis* (Chicago UP, 1991). pp. 1-38.

James Mahoney, "Path Dependence in Historical Sociology," *Theory and Society* 29, no.4 (2000), pp. 507-548.

John R. Sutton et al. The Legalization of the Workplace, *AJS* 99: 4 (1994), 944-971.

Wk 8 Transnational Networks and International Institutions

Jackie Smith, *Social Movements for Global Democracy* (Johns Hopkins UP, 2008).

Recommended

Sidney Tarrow. *The New Transnational Activism* (Cambridge UP, 2005).

J. Clark, ed. *Globalizing Civic Engagement: Civil Society and Transnational Action* (Earthscan 2003).

Boaventura de Sousa Santos and César A. Rodríguez, eds., *Law and Globalization from Below: Towards a Cosmopolitan Legality* (Cambridge UP, 2005).

Margaret E. Keck and Kathryn Sikkink. *Activists Beyond Borders: Advocacy Networks in International Politics* (Cornell UP, 1998).

Wk 9 Rise of Participatory Governance

Leonardo Avritzer, *Democracy and the Public Space in Latin America* (Princeton UP, 2002). Intro., Ch.2, ch.5, 6 (36-54, 103-164)

Archon Fung and Erik O. Wright. Deepening Democracy: Institutional Innovation in Empowered Participatory Governance, *Politics and Society*, 29:1 (2001): 5-41.

Boaventura de Sousa Santos. Two Democracies, Two Legalities: Participatory Budgeting in Porto Alegre, Brazil. In B de S Santos & CAR Garavito, eds., *Law and Globalization from Below: Towards a Cosmopolitan Legality* (Cambridge UP, 2005). Pp. 310-338.

Patrick Heller. Moving the State: The Politics of Democratic Decentralization in Kerala, South Africa, and Porto Alegre, *Politics Society* 29 (2001), 131-163.

Adrian Gurza Lavalle, Arnab Acharya, and Peter P. Houtzager. Beyond Comparative Anecdotalism: How Civil and Political Organizations Shape Participation in São Paulo, Brazil, *World Development* 33:6 (2005), 951-961.

Recommended

Archon Fung and Erik O. Wright. *Deepening Democracy: Institutional Innovation in Empowered Participatory Governance* (Verso, 2003).

Wk 10 Civil Societies, Interest Associations, or Social Capital

Michael W. Foley & Bob Edwards. The Paradox of Civil Society. *Journal of Democracy* 7:3 (1996): 28-52.

Dietrich Rueschemeyer. The Self-Organization of Society and Democratic Rule. In D Rueschemeyer, E Rueschemeyer, and B Wittrock, eds., *Participation and Democracy East and West* (M.E. Sharpe, 1998). Pp.9-25

Ruth B. Collier. Democratization and the Interest Regime in Latin America. In C Crouch and W Streeck, eds., *The Diversity of Democracy: Corporatism, Social Order, and Political Conflict* (Edward Elgar, 2006). Pp. 119-148

Robert Putnam & Kristin A. Gross. 'Introduction' **and** Robert Putnam, 'Conclusion.' In R. Putnam, ed., *Democracies in Flux: The Evolution of Social Capital in Contemporary Society* (Oxford UP, 2004). Pp. 3-20, 393-417

Elinor Ostrom. Social Capital: Fad or a Fundamental Concept. In P Dasgupta and I Serageldin, ed., *Social Capital: A Multifaceted Perspective* (World Bank, 2000). pp. 172-214.

Recommended

Joshua Cohen & Joel Rogers. Secondary Associations and Democratic Governance. In J Cohen and J Rogers, eds., *Associations and Democracy* (Verso, 1995). pp.7-98

Phillippe C. Schmitter. The Consolidation of Democracy and Representation of Social Groups, *American Behavioral Scientist* 35:4/5 (1992), 422-449

Peter P. Houtzager. Introduction: From Polycentrism to the Polity. In PP Houtzager and M Moore, eds., *Changing Paths: The New Politics of Inclusion* (Michigan UP, 2003).

Wk 11 Organizational Domains

Paul J. DiMaggio & Walter W. Powell 1983. The Iron Cage Revisited: Institutional Isomorphism and Collective Rationality in Organizational Fields, *ASR* 48: 147-60.

John F. Padgett & Paul McLean. Organizational Invention and Elite Transformation: The Birth of Partnership in Renaissance Florence, *AJS* 111:4 (2006), 1463-1568.

Michael T. Hannan & John Freeman. The population ecology of organizations, *AJS* 82 (1977): 929-64.

Mark Suchman. Managing Legitimacy: Strategic and Institutional Approaches, *The Academy of Management Review* 20:3 (1995): 571-610.

Recommended

Arthur Stinchcombe. Social Structure and Organizations. In J.G. March, ed., *Handbook of Organizations* (McGraw-Hill, 1965). Pp. 142-169

Hannan, Michael T., and Glenn R. Carroll. 1995. "An introduction to organizational ecology," in *Organizations in Industry*. Oxford University Press, pp. 17-31.

Wk 12 Empirical Civil Societies

Michael Bratton. Review: Beyond the State: Civil Society and Associational Life in Africa, *World Politics* 41:3 (1989): 407-430.

Patrick Heller. The Antinomies of Civil Society and Democracy: Civics as Publics in Post-Apartheid South Africa. Article under review.

Sudha Narayanan. One Kind of Representation: Associational Activity and the Urban Poor in Bangalore City. Paper presented at international workshop Rights, Representation and the Poor, Bellagio, Italy, 2005.

Partha Chatterjee 2002. On Civil and Political Society in Postcolonial Democracies. In S Kaviraj & S Khilnani, eds., *Civil Society: History and Possibilities* (Cambridge UP, 2001). Pp. 165-178

Adrian Gurza Lavalle, Peter P. Houtzager, & Graziella Castello. The Political Construction of Civil Societies in Brazil and Mexico. Manuscript chapter.

Recommended

Richard Rose. Getting Things Done in an Antimodern Society: Social Capital Network in Russia. In P Dasgupta and I Serageldin, ed., *Social Capital: A Multifaceted Perspective* (World Bank, 2000). pp. 147-171

Emmanuel Gyimah-Boadi. Civil Society in Africa, *Journal of Democracy* 7:2 (1996), pp. 118-132

Partha Chatterjee. *The Politics of the Governed: Reflections on Popular Politics in Most of the World* (Columbia UP, 2004).

Theda Skocpol, Marshall Ganz & Zaid Munson. A Nation of Organizers: The Institutional Origins of Civic Voluntarism in the United States, *APSR* 94:3 (2000), 527-545.

Wk 13 Citizens and Governance

Saumitra Jha, Vijayendra Rao, & Michael Wookcock. Governance in the Gullies: Democratic Responsiveness and Leadership in Delhi's Slums, *World Development* 35:2 (2007), 230-246.

Michael Bratton, Robert Mattes, & E. Gyimah-Boadi. *Public Opinion, Democracy and Market Reform in Africa* (Cambridge UP, 2005). Introduction, Ch.1, 5, 10, 12 (Pp.1-33,130-162, 250-270, 295-314)

Peter P. Houtzager & Arnab Acharya. "The Contribution Associations make to Citizenship: Comparative

Evidence from São Paulo and Mexico City." Manuscript under review.

James Holston. *Insurgent Citizenship: Disjunctions of Democracy and Modernity in Brazil* (Princeton UP, 2007). Ch.1 & 7 (pp.3-38, 233-270)

Jonathan Fox. The Difficult Transition from Clientelism to Citizenship, *World Politics* 46 (1994), 151-184.

Recommended

Arjun Appadurai. The Capacity to Aspire: Culture and the Terms of Recognition. In V. Rao and M. Walton, eds., *Culture and Public Action* (Stanford UP, 2004). Pp.59-84

Evelina Dagnino. Dimensions of Citizenship in Contemporary Brazil, *Fordham Law Review*, 75: 5 (2007), 2469-2482.

Joe Foweraker & Todd Landman. *Citizenship Rights and Social Movements: A Comparative Statistical Analysis* (Oxford UP, 1997).

Deborah Yashar. Democracy, Indigenous Movements, and the Postliberal Challenge in Latin America, *World Politics* 52:1 (1999), 76-104.

Wk 14 Assumed Representation & Inequality in Participatory Governance

Mark Warren. Citizen Representatives. Paper presented at Midwest Political Science Association Annual Meeting, Chicago, 2006.

Kenneth M. Roberts. Party-society linkages and democratic representation in Latin America, *Canadian J of Latin American and Caribbean Studies* 27 (2002), 9-34.

Peter P. Houtzager & Adrian Gurza Lavalle. Participatory Governance and the Challenge of Assumed Representation in Brazil (2008). Article under review.

Shubham Chaudhuri & Patrick Heller. The Plasticity of Participation: Evidence from a Participatory Governance Experiment. Mimeo, Department of Economics, Columbia University, 2002.

Gianpaolo Baiocchi. Emergent Public Spheres: Talking Politics in Participatory Governance, *American Sociological Review* 68 (2003), 52-74.

John Harriss. Political Participation, Representation and the Urban-Poor: Findings from Research in Delhi, *Economic and Political Weekly* (12 Mar 2005), 1041-1054.

John Harriss. The Poor Agitate, the Rich Operate: 'New Politics' and the Governmentality of the Post-Liberalization State in India,' Observed from Chennai. Paper presented at the CSAS Conference on Local Governance and Empowerment, UC Berkeley, May 2007.

Michael Bratton, Robert Mattes, and E. Gyimah-Boadi. *Public Opinion, Democracy and Market Reform in Africa* (Cambridge UP, 2005). Introduction, Ch.1, 5, 10, 12 (Pp.1-33,130-162, 250-270, 295-314)

Recommended

Oxhorn, Philip D. Is the Century of Corporatism Over? Neoliberalism and the Rise of Neopluralism." In PD Oxhorn and G Ducantzenzeiler, eds., *What Kind of Democracy? What Kind of Market?* (Pennsylvania State UP, 1998). Pp. 195-218

Hagopian, Frances. Democracy and Political Representation in Latin América in the 1990s: Pause, Reorganization, or Decline? In F Agüero and J Stark, eds., *Fault Lines of Democracy in Post-Transition Latin America* (North-South Center Press, 1998).

M.J. Bane. The Catholic Puzzle: Parishes and Civic Life. In M. J. Bane, B. Coffin, & R. Higgins (Eds.), *Taking Faith Seriously* (Harvard UP, 2005). Ch.2.