



# Frontiers of Innovation

## Celebrating 20 Years of Innovation in Government

March 30, 2008

Dear Fellow Innovators:

I am thrilled to welcome you to Cambridge. Some of you were with us at the first conference of the Global Network in 2005 – welcome back. Many others have been with us in the various meetings of the Global Network organized around the world – we welcome you back with open arms. And some of you are coming for the first time – a warm welcome to the Global Network of Government Innovators.

We are simply overwhelmed by your enthusiastic response. I cannot be grateful enough to you for undertaking long and arduous journeys and so generously giving up so much of your valuable time to be with us so that we may benefit from your experience and expertise. Thank you for coming, and I hope you will have a wonderful and enjoyable stay with us.

As the Director of the Ash Institute, I have witnessed government programs in crisis: from corruption, incompetence, and paralyzing red tape to failures to meet citizens' fundamental needs. I have also had the privilege of visiting some of the most innovative and forward thinking government programs in the world. I have met with government and civil society leaders who are making governments work for the citizens they serve; many of these innovative leaders convene with us now to share their experiences. Over the next several days, I know we will hear from these remarkable innovators who are making change happen by restoring citizens' faith in democracy.

Our Frontiers in Innovation Conference agenda was designed through extensive consultation with the members of the Network and the faculty at Harvard Kennedy School. The agenda highlights innovations in anti-corruption reforms, successes in engaging citizens in democracy, and models of 21<sup>st</sup> century governance. In addition, we selected three pressing public policy areas for discussion: emergency management, public health, and social justice.

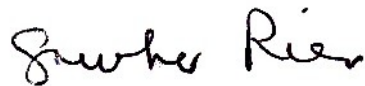
We are also honored to have very thoughtful keynote speakers. Each of them has made major contributions to making government more effective by enhancing their citizens' quality of life. We have asked them to reflect on their experiences, explain the rationale behind their innovations, and share their insights and lessons learned. Most importantly, we have asked them to make themselves available to answer your questions.



Our speakers and presenters have diverse backgrounds and will highlight unique programs and experiences. However, the backbone of our conference will be *your own* contributions. Each of you is here because of your unique experiences, accomplishments, and commitments to innovation. We have structured this conference in such a way as to avoid long speeches and set pieces in order to give you the maximum opportunity to speak so that we can learn from each other. I encourage you to share those experiences during the discussion in the plenary sessions, as well as in the small group discussions. It is not often that we have the opportunity to share perspectives with participants from so many countries.

I look forward to our many rich discussions. Personally, I am not only looking forward to our discussion during the formal sessions but also, and more importantly, I hope to be able to meet each of you individually to thank you in person for being a part of the Global Network. It is your Network and without your contribution we can do very little. I am so beholden to you. Thank you.

Your obedient servant,

A handwritten signature in black ink, reading "Gowher Rizvi". The signature is written in a cursive, flowing style with a large initial 'G' and 'R'.

Gowher Rizvi

Director, Ash Institute for Democratic Governance and Innovation





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## Celebrating 20 Years of Innovation in Government

Dear Conference Participants:

The Ash Institute for Democratic Governance and Innovation is a small institution with limited resources and a large mission to promote government effectiveness and strengthen democratic governance worldwide. Even though we are able to draw upon the expertise of Harvard University faculty, we realized early on that neither our resources nor our expertise were adequate to meet such lofty goals. More important, we are acutely aware that our decision to expand the reach of the Institute beyond the United States to the larger world, especially to developing countries, would require a strong understanding of the history, philosophy, and practice of democracy in diverse societies. Comparative research conducted from an American vantage point was not enough to understand the complexities and specific circumstances of developing countries. If we were to be taken seriously by scholars and practitioners around the world, we would need to understand each society from its own perspective.

The Institute, although itself a Northern institution based at Harvard University, does not see its role as merely the purveyor of Northern knowledge to the rest of the world. All work and activities of the Institute are informed by a strong belief in, and commitment to, building knowledge through a two-way exchange of experience and ideas. We like to think of the Ash Institute as a forum where ‘North and South’ and ‘theory and practice’ come together.

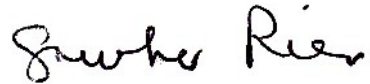
We also realized that our work would be more credible and valuable if we collaborated with partner institutions in developing countries. In this booklet our partners are listed. They have been instrumental to the generation of conferences, leadership and capacity development programs of the Ash Institute's Global Network, as well as the Innovations in American Government Awards Program. Our partners have worked hand in hand with us in our endeavors to improve governance worldwide; we are particularly honored to have many of them with us at this conference. Many of these great institutions also partnered with us at the meetings of the Global Network in Vienna, Austria; Delhi, India; Monterrey, Mexico; The Hague, Netherlands; and Dubai, United Arab Emirates.

Finally, as a member of the Liaison Partners for Democratic Governance and Innovation, we have worked with our nine partners to spread the importance of innovation through a variety of publications and events. We are pleased to welcome them to this conference and we acknowledge their cooperation with gratitude.



In all cases, these partnerships have been invaluable to the Ash Institute and it has been my heartfelt privilege to work with all of them. Thank you.

With All Best Wishes,

A handwritten signature in black ink, reading "Gowher Rizvi". The signature is written in a cursive, flowing style.

Gowher Rizvi

Director, Ash Institute for Democratic Governance and Innovation



### **Many Thanks to our Partners:**

The Annie E. Casey Foundation

BRAC, Bangladesh

Dubai School of Government

Fannie Mae Foundation

Formez, Italy

Google.org, USA

Graduate School of Public Administration and Public Policy of Tecnológico de Monterrey

IBM

The Institute of Social Sciences, India

Knowledgeland, NL

Leiden University, Campus The Hague, NL

Liaison Group for Governance and Public Action

Luna County, New Mexico

Ministry of the Interior, Turkey

The National Center for Advocacy Studies, India

Pan American Health and Education Foundation, USA

Rai Foundation

Self Employed Women's Association, India

UNDESA

University of Peloponnese, Greece

University of Stellenbosch, South Africa

University of Warwick, United Kingdom

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### **PARTNER DESCRIPTIONS**

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### **All India Disaster Mitigation Institute (AIDMI), India**

All India Disaster Mitigation Institute (AIDMI) is a community based action research, action planning and action advocacy organization. It works towards bridging the gap between policy, practice, and research related to disaster mitigation, in an effort to link the community to the international level humanitarian scenario.

The mission of AIDMI is to use learning and action to promote mitigation efforts to reduce disaster risk for vulnerable communities. Its vision is to create a safer world through combining disaster mitigation efforts of various humanitarian stakeholders. AIDMI promotes adoption and practice of disaster mitigation through:

- partnership with the poorest within disaster-vulnerable communities
- integrating water, food, habitat and livelihood security
- capacity building of multiple humanitarian stakeholders
- synergy between traditional and modern risk reduction strategies
- capturing and disseminating lessons and innovative ideas
- promoting use of humanitarian standards in disaster response
- providing timely and targeted relief in a sustainable manner

The AIDMI team is a young professional activity unit, built and run by a flexible, multi-disciplinary, multi-sectoral, multi-cultural, multi-experienced and committed group of technicians, professional field practitioners, and community and international volunteers . Its 63-member team is drawn from fields as diverse as journalism, social work, architecture, engineering, urban planning, economics, finance, information technology, business management, political science and disaster management.

For more information: [www.southasiadisasters.net](http://www.southasiadisasters.net)

### **Annie E. Casey Foundation, United States**

Founded in 1948 and headquartered in Baltimore, Maryland, the Annie E. Casey Foundation fosters public policies, human-service reforms, and community supports that effectively meet the needs of today's vulnerable children and families. In pursuit of this goal, the Foundation makes grants that help states, cities, and neighborhoods fashion more innovative, cost-effective responses to these needs. The Casey Foundation supports a diverse range of efforts in the following investment areas:

- designing and delivering services to secure and sustain life long family connections for children and youth



- advocating for reforms in public human service systems to ensure that they operate effectively and efficiently to strengthen families
- expanding social and economic security for families in poor communities
- gathering and promoting the use of data as a tool for change
- transforming tough and isolated communities into family-supporting environments

Since 2005, the Ash Institute for Democratic Governance and Innovation has been pleased to collaborate with the Annie E. Casey Foundation to offer the Annie E. Casey Innovations in American Government Award in Children and Family System Reform. This award focuses specifically on public policy innovation in the area of child and family services with a priority and emphasis on systemic reform.

For more information: [www.aecf.org](http://www.aecf.org)

### **B.R.A.C., Building Resources Across Communities (formerly Bangladesh Rural Advancement Committee), Bangladesh**

BRAC's vision is to achieve "a just, enlightened, healthy and democratic Bangladesh free from hunger, poverty, environmental degradation and all forms of exploitation based on age, sex, religion and ethnicity." BRAC started as an almost entirely donor funded, small-scale relief and rehabilitation project to help the country overcome the devastation and trauma of the Liberation War. Today, BRAC has emerged as an independent, virtually self-financed paradigm in sustainable human development. It is the largest in the world, employing 97,192 people, with the twin objective of poverty alleviation and empowerment of the poor. Through experiential learning, BRAC today provides and protects livelihoods of around 100 million people in Bangladesh. Diagnosing poverty in human terms and recognizing its multi-dimensional nature, BRAC approaches poverty alleviation with a holistic approach. BRAC's outreach covers all 64 districts of the country. Internationally, BRAC has been called upon to assist a number of countries including Afghanistan and Sri Lanka.

From the time of its modest inception in 1972, BRAC recognized women as the primary caregivers who would ensure the education of their children and the inter-generational sustainability of their families and households. BRAC's Economic Development Program adopts a comprehensive approach which incorporates health, education, and social development into its microfinance initiatives.

BRAC links all these programs strategically to counter poverty through livelihood generation and protection.

For more information: [www.brac.net](http://www.brac.net)



## **Center for Government Studies (CGS) at Leiden University, Campus The Hague, Netherlands**

Since 2005, the activities of the Center for Government Studies (CGS) at Leiden University Campus, The Hague, have focused on the challenges and dilemmas with which public sector organizations are confronted in the process of finding solutions for various social problems. However, all too often there is a mismatch between these solutions and the reality of everyday citizen life. The CGS aims to contribute to understanding and alleviating this mismatch, by developing and using unconventional and innovative forms of research, training and consultancy. These activities are informed by a qualitative and comparative scientific perspective on governance innovation.

Uniquely positioned at the political heart of the Netherlands as well as the world's foremost City of Peace and Justice, the Hague-based Center connects academic expertise with the practice of politics and public administration. The CGS utilizes its broad (inter)national network by bringing together the expertise and diverse experiences of politicians, public and private sector professionals and academics. The courses, research, game-simulations, conferences, and consultancy of the CGS all nourish the academic debates in the field of governance, change and innovation.

For more information: [www.cgs.leidenuniv.nl/](http://www.cgs.leidenuniv.nl/)

## **Department of Economic and Social Affairs, United Nations**

The Department of Economic and Social Affairs (DESA) of the United Nations Secretariat is a vital interface between global politics and national action in the economic, social and environmental spheres. Within DESA, the Division for Public Administration and Development Management (DPADM) is entrusted by the General Assembly with implementing the United Nations Program in Public Administration and Development. Since its inception in 1948, this program has consistently promoted the importance of sound public administration for the political, economic and social development of all nations.

DPADM is organized around four thematic and functional areas that support public administration on the national level: (i) governance and public administration, (ii) socio-economic and governance management, (iii) knowledge management and E-government, (iv) public administration networking.

DPADM assists Governments in strengthening their public policy making and service delivery systems, reinforcing their public sector human resources capacity, and improving the overall efficiency of their governance systems and institutions. The DPADM



focuses on disseminating information and sharing knowledge, providing technical cooperation and an international forum for the exchange of national experiences. The Division's comparative advantage is in its ability to identify and respond effectively to emerging global trends and challenges using its extensive knowledge base, professional expertise and network. Through its broad global reach and distinct mandate, DPADM contributes to improving public administration and governance in the development process.

For more information: [www.un.org/esa/desa/](http://www.un.org/esa/desa/)

### **Dubai School of Government, Dubai, United Arab Emirates**

*"The leaders of tomorrow are our focus and the foundation of the future. Our duty is to advance their skills and knowledge to continually enhance the quality of public administration."*

HH Sheikh Mohammed bin Rashid Al Maktoum

The Dubai School of Government is a research and teaching institution focusing on public policy in the Arab world established in 2004. Under the patronage of HH Sheikh Mohammed Bin Rashid Al Maktoum, Vice President and Prime Minister of the United Arab Emirates and Ruler of Dubai, in partnership with the John F. Kennedy School of Government at Harvard University, the School aims to promote good governance through enhancing the region's capacity for effective public policy.

Toward this goal, the Dubai School of Government also collaborates with international institutions such as the Lee Kuan Yew School of Public Policy, the World Bank, the UNDP, and the Brookings Institution in its research and training programs. The School also organizes policy forums and international conferences to facilitate the exchange of ideas and to promote critical debate on public policy in the Arab world.

The School is committed to the creation of knowledge, the dissemination of best practice and the training of policy makers in the Arab world. To achieve this mission, the School is developing strong capabilities for supporting research and teaching programs. These include applied research in public policy and management, master's degrees in public policy and public administration, executive education for senior officials and executives, and study forums for scholars and policy makers.

For more information: [www.dsg.ae](http://www.dsg.ae)



### **Fannie Mae Foundation, United States**

Fannie Mae was created in 1938, under President Franklin D. Roosevelt, at a time when millions of families could not become homeowners, or risked losing their homes, for lack of a consistent supply of mortgage funds across America. The federal government established Fannie Mae in order to expand the flow of mortgage funds in all communities, at all times, under all economic conditions, and to help lower the costs to buy a home. Today, Fannie Mae is a shareholder-owned company that maintains its commitment to expand affordable housing and bring global capital to local communities in order to serve the U.S. housing market.

The Fannie Mae Foundation, a non-profit, private foundation supported solely by Fannie Mae, created home ownership and housing opportunities through innovative partnerships and initiatives that build healthy, vibrant communities across the United States. The Foundation is committed to improving the quality of life for the people in its hometown, Washington, DC, and to enhancing the livability of the city's neighborhoods.

From 2004 – 2007, the Foundation sponsored the Fannie Mae Foundation Innovations Award in Affordable Housing. This was a special addition to the Innovations in American Government Awards program administered by the Ash Institute for Democratic Governance and Innovation at Harvard Kennedy School.

For more information: [www.fanniemaefoundation.org](http://www.fanniemaefoundation.org)

### **Formez International, Italy**

Formez Training and Study Center is an agency operating at a national and an international level which depends on the Department of the Public Administration of the Council of Ministers. The institute has its main offices in Rome and two branches in Naples and Cagliari, with a permanent staff of 460 people and a roster of over 1,000 consultants and lecturers. It operates in close connection with its shareholders and with the Italian Schools for Public Administration (Central and Local).

Among its activities, Formez has always provided support to the regional and local administrations to ensure the best possible use of resources from national and European funds. Formez provides training to public servants both on the best use of structural funds and for the improvement of services to citizens.

Formez operates at all government levels as the “agent for public administration competitiveness” through the constant re-qualification of the personnel. We provide technical assistance and training for the implementation of efficient public policies and



encourage cohesion and the sharing of experiences between administrations. We facilitate the processes of change in terms of development of new inter-institutional governance systems. Formez supports the introduction of organizational and administrative innovations and strives to augment efficacy and efficiency of the services for citizens and businesses.

Founded in 1965, the mission of Fomez has evolved in the past ten years. Formez operates in the enlarged Europe, and worldwide, to share experiences in order to encourage the establishment of systems that meet agreed regional standards, and to create communication channels between countries through a common language. The institute provides support to inter-regional cooperation and the integrated development of territories.

For more information: [www.formez.eu](http://www.formez.eu)

### **Google.org, United States**

In rich countries we take it for granted that when we turn the tap, clean water comes out, when our children go to school, there will be a teacher present, and when we have health problems, the medical provider will be attentive. Quality public services such as clean water, health, and education are vital for human welfare and a strong economy. But in many countries in the developing world, essential public services are failing, especially for the poorest members of society. Conventional approaches to tackling this challenge have focused on tracking money spent rather than results achieved. Accountability to citizens and communities has largely been absent.

While there are no quick fixes, Google.org believes that providing meaningful, easily accessible information to citizens and communities, service providers, and policymakers is a key part of creating home-grown solutions to improving the quality of public services. Better information can help governments and other providers spend scarce resources wisely. Empowered by information, citizens and communities can demand better services from providers or develop new solutions to meet their own needs.

We will work with public, private, and civil society partners to address each side of this problem. This initiative will begin with a focus on education, health, and water and sanitation services in East Africa and India. Our work will support efforts that lead to empowered citizens and communities, responsive providers, and informed decision makers. Success will depend on the presence of strong and effective leadership. We are committed to investing in the next generation of business, government, and civil society leaders to ensure the sustainability of this initiative.

For more information: [www.google.org/](http://www.google.org/)



### **The IBM Center for the Business of Government, United States**

IBM is a globally integrated innovation company, serving the needs of enterprises and institution world-wide. The company seeks to be a partner in its clients' success by enabling their own capacity to innovate and thus to differentiate themselves for competitive advantage in a globalized economy. IBM views enterprise innovation not only in terms of products and services, but across all the dimensions of a business: its business process, business model, management system, culture and role in society. To help clients achieve growth, effectiveness, efficiency, and the realization of greater value through innovation, IBM draws upon the world's leading systems, software and services capabilities.

In 2007 and on the occasion of the twentieth anniversary of the Innovations Awards Program, the Ash Institute for Democratic Governance and Innovation at Harvard Kennedy School partnered with the IBM Center for The Business of Government (The IBM Center) to offer the IBM Innovations Award in Transforming Government. The IBM Center connects public management research with practice. Since 1998, The IBM Center has helped public sector executives improve the effectiveness of government with practical ideas and original thinking, and has sponsored independent research by top minds in academia and the non-profit sector.

For more information: [www.businessofgovernment.org](http://www.businessofgovernment.org)

### **The Institute of Social Sciences / India**

The Institute of Social Sciences was registered under the Societies Registration Act of India 1860 on August 28, 1985. The first governing body of the Institute met on September 1, 1985 under the chairmanship of D.T. Lakdawala, renowned economist and former Deputy Chairman of the Planning Commission, Government of India. Dr. George Mathew, Founder Director, heads the Institute. The Institute started functioning at B-7/81, Safdarjung Enclave, New Delhi, and continued until April 1999. From May 1, 1999 it moved to its own premises at 8 Nelson Mandela Road, New Delhi- 110070, near Jawahar Lal Nehru University.

The aims of the Institute are multi-disciplinary social science advanced research, developing an informed and action-oriented public opinion, and ushering in a society in which power to the people is a reality.

The objectives of The Institute of Social Sciences are to study contemporary social, political and economic issues and problems with an inter-disciplinary perspective, and to make its findings and recommendations available to government bodies, civil society organizations, policy makers, social scientists and all concerned citizens, so as to widen their



options for action.

For more information: [www.issin.org](http://www.issin.org)

### **Knowledgeland, Netherlands**

Knowledgeland (KL) is an independent Dutch think tank based in Amsterdam. Founded in 1999, its mission is to help establish the Netherlands as one of the key regions in the international knowledge economy. It aims to accomplish this in a way that creates both economic and social value. KL brings together a network of government, private sector, knowledge institutions and civil society to think about the consequences of the knowledge economy and how to respond to it as a society.

The objectives of KL are learning and action. Together with government, the private sector, knowledge institutions and civil society we develop innovation strategies. These strategies help the Netherlands to realize its potential in the knowledge economy by changing its structures and actions. We initiate projects that help people and organizations to take action. These projects are aimed at growing the opportunities for people to participate in the knowledge economy, creating the best climate for knowledge workers and their companies, and stimulating the innovation of public institutions to help them work effectively in the knowledge economy and society. KL organizes learning networks around these innovation strategies and projects. These networks help organizations to understand the need and impact of knowledge-economy and share experiences while also taking action.

But that is not its final destination. KL translates this response into concrete action and supports learning in this transformation process. In short, KL believes we learn by acting.

For more information: [www.kennisland.nl/en](http://www.kennisland.nl/en)

### **The Liaison Group for Innovations in Governance & Public Action, United States**

Following the pioneering work of the innovations in American Government Program, the Ford Foundation sponsored the creation of government innovation awards programs in Brazil, Chile, China, East Africa (as the Mashariki Innovations in Local Governance Awards Program), Mexico, the Philippines (under the auspices of the Galing Pook Foundation), Peru, South Africa (as the Impumelelo Awards Trust), and the American Indian Tribes (as part of the Honoring Nations Project) in the United States. While each of these initiatives is



adapting the innovations approach to local concerns and priorities, they all share a strong allegiance to the core idea that government can be improved through the identification and dissemination of examples of effective solutions to public sector problems.

Through support from the Ford Foundation and contributions by the individual programs, the Liaison Group for Innovations in Governance and Public Action was established in 2002. The Group is a means to enhance the collaboration among the nine programs for shared learning and global dissemination of our individual and collective knowledge and experiences. We have categorized each national program's award recipients according to ten project themes: access to services, accountability, citizen participation, citizen voice, and civil society, education, elections, environment, pluralism, gender, and diversity, public-private partnerships, social justice, and sustainable development.

For more information: [ashinsttest.org.ezdeal.no/global\\_network](http://ashinsttest.org.ezdeal.no/global_network)

### **Luna County, New Mexico / United States**

The County of Luna is a proactive, progressive entity whose mission is to improve the quality of life for the residents of Luna County, New Mexico through the provision of responsible leadership that understands the importance of community health and safety, post-secondary educational opportunities, and strong economic growth.

The County of Luna facilitates many programs that support its mission, including the Juvenile Justice Continuum of Services & Graduated Sanctions, for which it received recognition as a finalist in the 2007 Innovations in American Government awards program.

Responding to a serious juvenile crime problem, the County of Luna, located on the U.S./Mexico border, initiated collaboration with local stakeholders that resulted in the implementation of a comprehensive strategy called the Juvenile Justice Continuum of Services and Graduated Sanctions. This program expanded to include all of the 6th Judicial District: Luna, Grant, and Hidalgo counties. A unique approach to juvenile justice reform, virtually every governmental, non-profit, and private organization that provides youth services in the tri-county area is involved in the system.

The Continuum of Services is composed of an integrated network of juvenile programs, preventative to punitive. The program encompasses prevention, early diversion, court-ordered intervention, and institutionalization. The focus is on addressing the underlying health, social, family, or behavioral issues before juvenile crime becomes a viable behavior option and/or pattern for youth; therein exists the innovation. As the Continuum has matured, fewer punitive measures are required, as preventative programs achieve the intended results, substantiating the principles defined in the stratagem. After ten years, total delinquent



offenses have declined by an average of 70%. Such dramatic results of the Continuum are an indication that the previous practice of probation/incarceration was generally ineffective in regard to behavioral modification in young people. Another constructive outcome of the Continuum of Services program is a tri-county area deeply committed to the positive growth and development of its children.

For more information: [www.lunacountynm.us](http://www.lunacountynm.us)

### **Ministry of Interior Affairs, Republic of Turkey**

During the past two decades, Turkey has been carrying out comprehensive efforts toward public administration reform in a changing economic and political environment influenced by globalization and by its domestic dynamics. As regards local government reform, which is an integral part of the public administration reform, Turkey followed a revolutionary approach of completely renewing legislation concerning local governments as opposed to introducing amendments to the existing laws. The innovation spurred by the reform of local government can be summarized under three topics.

First, it instigated the transition from a bureaucratic government to democratic governance through establishment of urban councils with the participation of civil society, public institutions and academia. This mechanism encouraged sharing perspectives and transparency concerning the activities of municipalities. A key element of this council was the participation of civil society, public institutions, academia and neighborhood *muhtars* (headmen) in the ad hoc specialist committees within the municipal council. Another was the establishment of audit commissions within the municipal council. In order to ensure effective participation and monitoring by opposing parties, new legislation mandated a ratio of representation in municipal council commissions corresponding to political parties in the municipal council

Second, the government adopted new fields of responsibility through devolution of power to local governments. New initiatives promote economic development of towns by providing incentives for investment, carry out urban regeneration projects including protection of natural and cultural heritage, establish public safety like shelter houses for the protection of women and children from domestic violence, and emergency planning.

Finally, new financial management systems have been instituted. These include introduction of a norm cadre system (standard employment descriptions) for local government personnel, introduction of strategic planning, multi-year budget and investment programming together with new budget and accounting standards, and new internal and external auditing mechanisms.



For more information: [www.icisleri.gov.tr](http://www.icisleri.gov.tr)

### **National Center for Advocacy Studies (NCAS), India**

National Center for Advocacy Studies (NCAS) is a social change resource center working with social action groups, public interest professionals and citizens from all over India and the Global South. NCAS began its work in 1992. It was established with the aim of empowering people who work towards changing the social fabric of India toward a more just and humane society. It is a membership-based organization registered under the Society Registration Act of 1860, and the Bombay Public Trusts Act of 1950. The center has been endorsed by more than fifty respected grassroots organizations and social action groups from different regions of India.

NCAS is a pro-active learning organization that works toward a participatory, rights-based and people-centered policy environment, and a transparent and accountable governance, to advance human rights, equitable social change, and distributive justice.

The mission of NCAS is to acquire access to democratic institutions and to effectively advocate the rights of marginalized sections, especially women, tribals, dalits, and laborers in the unorganized sector, and to empower them.

NCAS is a social change resource center. Its objective is to strengthen the capacity of people and social action groups to advocate issues of basic rights and public interest, and to facilitate democratic process, by expanding capacity building, information, research and campaign inputs.

For more information: [www.ncasindia.org](http://www.ncasindia.org)

### **Pan American Health & Education Foundation, United States**

The Pan American Health & Education Foundation (PAHEF), founded in 1968, is a US-based nonprofit organization dedicated to combating disease, lengthening life, improving health care services, fostering health research, and enhancing the capacities of health care workers in the Americas through grant-making and direct program implementation.

PAHEF enjoys a unique relationship with the Pan American Health Organization (PAHO), the Regional Office for the Americas of the World Health Organization (WHO), and shares the vision of health for all. In pursuit of this vision, PAHEF is guided by the health needs of the region, the United Nations' Millennium Development Goals, and priority programmatic initiatives of the PAHO/WHO member countries.



Since 2000, the PAHEF Grants Program has made nearly 260 grants of about \$47 million to support sustainable projects in Latin America and the Caribbean. Recent grants support projects in childhood obesity and nutrition, healthy aging, indigenous health, infection control, neglected tropical diseases, and medical education and training. Given our unique relationship with health professionals in the Americas, these innovative projects foster partnerships with others and cultural sensitivity.

The Awards for Excellence in Inter-American Public Health program recognizes excellence in inter-American leadership, community service, health literature, veterinary public health, and bioethics. The awards honor those who led the way in advancing health conditions in the Americas during the last century, and motivate the next generation of leaders to improve health in the Americas.

For 40 years, PALTEX (The Expanded Textbook and Instructional Materials Program), a joint program of PAHO and PAHEF, has provided more than six million books and instruments to students and health professionals including physicians, nurses, dentists, nutritionists, and veterinary doctors at 555 institutions in 20 Latin American and Caribbean countries.

For more information: [www.pahef.org](http://www.pahef.org)

### **Rai Foundation, India**

Rai Foundation is a philanthropic non-profit body set up with the objective of addressing various socio-cultural concerns of India and its people. It supports human enterprise in every sphere of life. The guiding principle of Rai Foundation is the belief that potent bodies make a robust workforce that creates a developed nation. Rai Foundation, through its various socio-economic and socio-cultural enterprises, addresses core issues and forays into uncharted territories. Rai firmly believes that education causes positive changes, and thus social progress, and that this is the most potent weapon against all of the problems facing India.

Rai Foundation introduces catalysts of change in the public domain in the form of various institutions and initiatives for social progress. Various educational, socio-cultural and socio-economic initiatives of Rai Foundation focus on providing access to education to the under-served general population.

Across India, Rai Foundation runs the largest network of professional colleges. The multidisciplinary colleges provide world-class education to Indian students. The best international educational practices, interspersed with Indian values, present an optimum learning field for participants of RAI. The emphasis at Rai is on practical learning instead of



rote learning. All the campuses across India have state-of-the-art-infrastructure to provide students with world-class learning environment.

For more information: [www.raifoundation.org](http://www.raifoundation.org)

### **Self Employed Women's Association (SEWA), India**

SEWA is a trade union registered in 1972. It is an organization of poor, self-employed women workers. These are women who earn a living through their own labor or small businesses. They do not obtain regular salaried employment with welfare benefits like workers in the organized sector. They are the unprotected labor force of our country. Constituting 93% of the labor force, these are workers of the unorganized sector. Of the female labor force in India, more than 94% are in the unorganized sector. However their work is not counted and hence remains invisible. In fact, women workers remain uncoun ted, undercounted and invisible.

SEWA's main goals are to organize women workers for full employment. Full employment means employment whereby workers obtain work security, income security, food security and social security. SEWA believes social security for women, at minimum, constitutes, health care, child care and shelter.

SEWA organizes women. It advocates self-reliance, meaning that women should be autonomous and self-reliant, individually and collectively, both economically and in terms of their decision-making ability. To this end, we work to ensure that every family obtains full employment.

At SEWA we organize workers to achieve their goals of full employment and self-reliance through the strategy of struggle and development. Struggle is against the many constraints and limitations imposed on them by society and the economy, while development activities strengthen women's bargaining power and offer them new alternatives. Practically, the strategy is carried out through the joint action of the union and cooperatives.

Gandhian thinking is the guiding force for SEWA's poor, self-employed members in organizing for social change. We follow the principles of *satya* (truth), *ahimsa* (non-violence), *sarvadharm a* (integrating all faiths, all people) and *khadi* (propagation of local employment and self reliance).

For more information: [www.sewa.org](http://www.sewa.org)



## **Tecnológico de Monterrey's Graduate School of Public Administration and Public Policy (EGAP), Mexico**

Tecnológico de Monterrey's Graduate School of Public Administration and Public Policy (EGAP) was founded in 2002 to enable the Tec to contribute to the improvement of public policies and government in Mexico through education of public leaders and through policy research and analysis. EGAP works to train people who are capable of exercising visionary leadership and gives them skills for analyzing and understanding public organizations. Through EGAP, the Tec de Monterrey plays an important role in professionalizing public administration in Mexico. Through its professors, centers, research, and policy consulting, it analyzes and proposes public policy solutions for the country's development.

EGAP encompasses Masters programs in Public Administration and Public Policy, International Law, Public Law, International Studies, Economics and Public Policy, Political Analysis and the Media, and an on-line program in Public Management. EGAP has a presence on three of the Tec's campuses: Monterrey, Mexico City, and State of Mexico.

EGAP graduates are in positions of responsibility throughout the federal government, as well as in state and municipal governments. Its faculty members are active researchers, publishing in both national and international journals. They also participate in the policy process through public discussion, consulting, evaluation, and other outreach activities.

EGAP programs are supported by agreements with The Kennedy School of Government at Harvard University, Georgetown University, and the Universidad Autónoma de Barcelona.

For more information: [cmpublish.itesm.mx/wps/portal/egap](http://cmpublish.itesm.mx/wps/portal/egap)

## **University of Peloponnese, Greece**

The University of Peloponnese plays an important role in enriching the national and cultural character of the region of Peloponnese, and contributes to the high level of university education in Greece. It supports the continued promotion of democratic institutions and practices required for the advancement and social dissemination of science..

The University is a new state, non-profit University founded in 2000. Seated in Tripoli, it is being developed at the level of complete Faculties in the five capitals of the prefectures of the Region of Peloponnese. It consists of six faculties: Faculty of Science and Technology, Faculty of Humanities and Culture Studies, Faculty of Social Sciences, with Corinth as its seat, Faculty of Management and Economics, Faculty of Fine Arts, and the Faculty of Human Movement and Quality of Life Sciences.



The University of Peloponnese has built effective partnerships with various Ministries, the private sector, and civil society organizations. For example, one innovation is an M.A. in Public Administration offered jointly by the Greek syndicate of public servants and the National Center of Public Administration. The program aims at improving the skills and knowledge of public sector employees and modernizing the Greek state. It emphasizes the use of new technology (e.g. teleconference, e-learning), and encourages public sector employees to engage in innovative behavior. The collaboration of public administration with the syndicates through this program, itself, promotes cultural change.

The University has an active involvement in “Public-Private Partnerships” (PPP). Currently it has a PPP building plan for the Faculties of all the cities as well as its administrative bodies which amounts to approximately 100 million. The involvement of the University in PPP can be considered a benchmark for similar activities in the Greece.

For more information: [www.uop.gr](http://www.uop.gr)

### **University of Stellenbosch, South Africa**

The University of Stellenbosch is recognized as one of the four top research universities in South Africa. It takes pride in the fact that it has one of the country's highest percentages of post-graduate students, where almost ten percent of them are international students.

The University of Stellenbosch lies tucked away in the picturesque Jonkershoek Valley in the heart of the Western Cape Winelands. Since its humble beginnings in 1866, when it first opened its doors with about 500 students and 39 lecturers, the University has grown into the internationally recognized institution of excellence it now is. Today, it has more than 22,500 students, 800 lecturers and some 50 research and service bodies.

The University has ten faculties, of which eight are located on the main campus in Stellenbosch, with the Faculty of Health Sciences situated on the Tygerberg campus. The Bellville Park campus is home to the Business School and Business / Executive Development School. The coastal town of Saldanha serves as the base for the Faculty of Military Sciences.

The campuses of the University of Stellenbosch are a vibrant melting pot of different cultures. Various student organizations can be found on the four campuses. They cater to a wide range of interests such as culture, politics, religions, spiritual concern and relaxation.

For more information: [www.sun.ac.za](http://www.sun.ac.za)



## **University of Warwick, United Kingdom**

The University of Warwick is one of the UK's top five research-led universities, and it has an excellent reputation for the quality and relevance of its research and teaching. Warwick Business School is its largest department and adopts an inter-disciplinary and international approach, with links to many other departments in the University.

Warwick Business School has a long-standing commitment to work, not only in the private business sector, but also, in the public and voluntary sectors. This provides opportunities for combining and comparing perspectives across all three sectors.

The Institute of Governance and Public Management (IGPM) is the focal point of the Business School's research and teaching on public policy, public management.

IGPM is nationally and internationally recognized for its leading-edge research and teaching on governance, leadership, strategy, policy-making, and management. It leads the way in developing existing and future leaders in government and other parts of the public and voluntary sectors.

IGPM runs a number of postgraduate and post-experience programs, including the Warwick MPA, which is the first public sector M.B.A. of its kind in the UK. Programs are designed for all levels of government, and for the full range of services in the public and voluntary sectors. Programs are designed and delivered jointly by leading academics and practicing managers and aim to address the complex and changing needs of the sectors.

Committed to developing academic theory, which reflects the complexities faced by managers in the public and voluntary sectors, it aims to create a lively dialogue between participants and lecturers, theory and practice, ideas and experience, and action and reflection. IGPM thus aims to create a 'virtuous triangle' between teaching, research and organizational development.

For more information: [www2.warwick.ac.uk](http://www2.warwick.ac.uk)



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## **PROGRAM AT A GLANCE**

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### **Monday, March 31**

7:00 pm **Forum Event**

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### **Tuesday, April 1**

8:30 – 9:30 am **Setting the Context for the Conference and  
Keynote Speaker**

10:00 – 11:45 am **Panel 1  
Innovations in Governance: Ethics and  
Accountability in the Public Sector**

12:15 – 1:30 pm **Keynote Speaker and Lunch**

2:00 – 3:45 pm **Panel 2  
Innovations in Participation: Citizen Engagement  
in Deliberative Democracy**

4:00 – 5:45 pm **Panel 3  
Innovations in Global Health: New Approaches to  
Neglected Diseases**

7:00 pm **Keynote Speaker and Dinner**

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### **Wednesday, April 2**

8:30 – 10:30 am **Roundtable  
Government Innovation and Social Justice**

11:00 – 12:45 pm **Panel 4  
Innovations in Emergency Management: Making  
Governments Flexible and Responsive**

2:00 – 2:30 pm **Keynote Address**

2:45 – 4:30 pm **Panel 5  
The Future of Innovation: 21st Century Models  
of Governance**

4:45 – 5:30 pm **Closing Session**



Ash Institute for Democratic Governance and Innovation  
Frontiers of Innovation: Celebrating 20 Years of Innovation  
in Government  
March 30–April 2, 2008



## Frontiers of Innovation Celebrating 20 Years of Innovation in Government

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### AGENDA

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#### Sunday, March 30

12:00 – 6:00 pm      **Conference Check-In**  
Hyatt Regency Hotel Lobby

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#### Monday, March 31

10 am, 1 pm, 3 pm      **Harvard Tours for Early Arrivals**

12:00 – 5:00 pm      **Conference Check-In**  
Hyatt Regency Hotel Lobby

4:00 – 8:00 pm      **Buffet**

5:00, 5:30, 6:00 pm      **Buses Leave for Forum Event**

7:00 pm      **Forum Event**  
Harvard Kennedy School

***Democracy, Good Government and Development: Mexico, An  
Experience in Latin America***

The Honorable Vicente Fox Quesada, Former President of Mexico

#### **Introduction**

Professor Gowher Rizvi, Director of the Ash Institute,  
Harvard Kennedy School



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**Tuesday, April 1**

7:00 – 8:15 am

**Breakfast Buffet**

8:30 – 9:30 am

**Setting the Context for the Conference and  
Keynote Speaker****Welcome**

Professor Gowher Rizvi, Director of the Ash Institute,  
Harvard Kennedy School

***Innovation in Government*****Keynote Speaker**

The Honorable Thomas J. Vilsack, Former Governor of Iowa, USA

**Introduction**

Professor Stephen Goldsmith, Director of Innovations  
in American Government, Ash Institute, Harvard Kennedy School

9:30 – 10:00 am

**Break**

10:00 – 11:45 am

**Panel 1****Innovations in Governance: Ethics and  
Accountability in the Public Sector**

10:00 – 10:40 am

**Presentations by Innovators****Context Setter**

Professor Kenneth Winston, Harvard Kennedy School

**Innovators**

Ms. Stephanie Hirsch, Director SomerStat,  
Somerville, Massachusetts, *The Next Step for Stat Programs: Using  
Real-time Data for Municipal Management*, USA

Ms. Aruna Roy, Cofounder MKSS, *The Role of Mazdoor Kisan  
Shakti Sangathan (MKSS)*, India

The Honorable Frederick Sumaye, Former Prime Minister of  
Tanzania, *Drastic Measures to Eliminate Corruption*, Tanzania

10:40 – 11:00 am

**Question and Answer**



11:00 – 11:45 am	<b>Small Group Discussion</b>
11:45 – 12:15 pm	<b>Break</b>
12:15 – 1:30 pm	<b>Keynote Speaker and Lunch</b>  <i>The Coproduction of Governance: Civil Society, the Government, and the Private Sector</i>  <b>Keynote Speaker</b> Mr. Fazle Abed, Founder and Chairperson of BRAC (Building Resources Across Communities), Bangladesh  <b>Chair</b> Professor Amartya Sen, Harvard University
1:30 – 2:00 pm	<b>Break</b>
2:00 – 3:45 pm	<b>Panel 2</b> <b>Innovations in Participation: Citizen Engagement in Deliberative Democracy</b>
2:00 – 2:40 pm	<b>Presentations by Innovators</b>  <b>Context Setter</b> Professor Archon Fung, Harvard Kennedy School  <b>Innovators</b> Mr. Richard Dobson, Founder of Asiye Etafuleni, <i>Incorporating the Informal Sector into Urban Planning</i> , South Africa  Mr. Robert Miller, Director of the Minneapolis Neighborhood Revitalization Program, <i>Revitalizing Urban Cities Through Resident Empowerment</i> , USA  Dr. Henry Tam, Deputy Director of Community Empowerment Delivery, <i>Together We Can Tackle the Power Gap</i> , UK
2:40 – 3:00 pm	<b>Question and Answer</b>
3:00 – 3:45 pm	<b>Small Group Discussion</b>
3:45 – 4:00pm	<b>Break</b>



4:00 – 5:45 pm

### **Panel 3**

## **Innovations in Global Health: New Approaches to Neglected Diseases**

4:00 – 4:40 pm

### **Presentations by Innovators**

#### **Context Setter**

Professor William C. Clark, Harvard Kennedy School

#### **Innovators**

Dr. Maria Freire, President of The Albert and Mary Lasker Foundation, *TB Alliance: A Public-Private Partnership to Develop Accessible and Faster-Acting TB Medicines*, USA

Bennett M. Shapiro, M.D., Chair of the DNDi North America Board of Directors, *Building Partnerships to Ensure Needs-Driven Research and Development*, USA

Nicole Szlezák, M.D., Doctoral Fellow at Harvard University, *Prize4Life: A Nonprofit Search for a Cure for ALS*, USA

4:40 – 5:00 pm

### **Questions and Answers**

5:00 – 5:45 pm

### **Small Group Discussion**

5:45 – 7:00 pm

### **Exhibit and Break**

5:45 – 6:30 pm

### **Book Signing**

**Editor, *Innovations in Government: Research, Recognition, and Replication***

Professor Sandford Borins, Canada

7:00 pm

### **Keynote Speaker and Dinner**

***The Dubai Experience of Government Innovation***

#### **Keynote Speaker**

His Excellency Nabil Alyousuf, Executive President of the Dubai School of Government

#### **Introduction**

Professor Graham Allison, Director, Belfer Center for Science and International Affairs, Harvard Kennedy School



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**Wednesday, April 2**

7:00 – 8:15 am

**Networking Breakfast**

8:30 – 10:30 am

**Roundtable  
Government Innovation and Social Justice****Introduction**

Professor Gowher Rizvi, Director of the Ash Institute,  
Harvard Kennedy School

**Discussants**

Ms. Rhoda Kadalie, Executive Director of the Impumelelo  
Innovations Award Trust, South Africa

Ms. Cecilia Kinuthia-Njenga, Founder of the Mashariki Innovations  
in Local Governance Awards Program (MILGAP), East Africa

Professor Gonzalo Portocarrero Maisch, Director of the Participation  
and Local Management Program, Peru

Ms. Amy Besaw Medford, Director of the Honoring Nations  
Program at the Harvard Project on American Indian Economic  
Development, Harvard Kennedy School

Professor Peter Spink, Director of the Public Management and  
Citizenship Program at the Getulio Vargas Foundation,  
São Paulo, Brazil

Professor Yang Xuedong, Assistant Director of China Local  
Governance Innovations Program, China

**Summation**

Professor Peter Spink, Director of the Public Management and  
Citizenship Program at the Getulio Vargas Foundation in  
São Paulo, Brazil

10:30 – 11:00 am

**Break**



11:00 – 12:45 pm

**Panel 4**  
**Innovations in Emergency Management: Making Governments Flexible and Responsive**

11:00 – 11:40 am

**Presentations by Innovators**

**Context Setter**

Professor Arnold M. Howitt, Harvard Kennedy School

**Innovators**

Mr. Mihir Bhatt, Honorary Director of All India Disaster Mitigation Institute, *A Campaign for Safer Schools*, India

Mr. James Schwartz, Fire Chief of Arlington, Virginia, *Incident Management Systems: An Organizational Template for Operational Coordination*, USA

Professor Lan Xue, Executive Associate Dean of School of Public Policy and Management at Tsinghua University in Beijing, *Reporting and Responding to Emergencies in Nanning City*, China

11:40 – 12:00 pm

**Question and Answer**

12:00 – 12:45 pm

**Small Group Discussion**

12:45 – 1:00 pm

**Break**

1:00 – 2:00 pm

**Networking Lunch**

2:00 – 2:30 pm

**Keynote Address**

*Innovation in the 21<sup>st</sup> Century*

**Keynote Speaker**

Professor David T. Ellwood, Dean of Harvard Kennedy School

**Introduction**

Professor Jane Mansbridge, Harvard Kennedy School

2:30 – 2:45 pm

**Break**



2:45 – 4:30 pm

**Panel 5**  
**The Future of Innovation: 21st Century Models of Governance**

2:45 – 3:25 pm

**Three Presentations by Innovators**

**Context Setter**

Professor Elaine C. Kamarck, Harvard Kennedy School

**Innovators**

Professor Lee Bowes, CEO, America Works, *Shifting the Paradigm of Public Policy Delivery: The Role of America Works*, USA

Mr. Carlo Flamment, President of Formez International, *The Role of BouniEsempi.it*, Italy

Professor Maryantonett Flumian, Senior Fellow at the Graduate School of Public and International Affairs, University of Ottawa, *Identity Management: Unlocking the Door to Multijurisdictional Collaboration Transforming Service*, Canada

3:25 – 3:45 pm

**Question and Answer**

3:45 – 4:30 pm

**Small Group Discussion**

4:30 – 4:45 pm

**Break**

4:45 – 5:30 pm

**Closing Session**

4:45 – 5:15 pm

**Lessons Learned for the Global Innovators Network**

Mr. Jorrit de Jong, Ash Institute Research Fellow, Harvard Kennedy School

5:15 – 5:30 pm

**Concluding Remarks**

Professor Gowher Rizvi, Director of Ash Institute, Harvard Kennedy School

5:30 – 7:00 pm

**Closing Reception**

7:00 pm

**End of General Conference**



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## **Panel Descriptions in Brief**

### **Panel 1**

#### **Innovations in Governance: Ethics and Accountability in the Public Sector**

While many nations around the world now recognize that corruption is a major impediment both to economic growth and to the formation of a fair and orderly society, there remains no consensus about either its causes or its remedies. In order to generate effective and enduring anti-corruption measures, it is essential to identify the design principles underpinning productive innovations in public sector accountability. On this panel, we will explore three successful initiatives at local, regional, and national levels of government to uncover strategies for increasing transparency and enhancing competence of leaders in the public sector.

### **Panel 2**

#### **Innovations in Participation: Citizen Engagement in Deliberative Democracy**

Democratic governance depends on citizen participation to mitigate corruption, harness public energy, and remain responsive to community needs. Citizen activism can be a productive check on the expansion of special interests as the public determines where its government's priorities should lie. Both in developing and developed countries, innovators continue to explore a range of strategies engaging communities to deliver social services, defuse conflict, improve public sector accountability, and raise public opinion about quality of governance. This panel will examine several such innovations to consider new ways to engage citizens in building fair and effective government.

### **Panel 3**

#### **Innovations in Global Health: New Approaches to Neglected Diseases**

Global health care has undergone momentous changes in the last decade as a host of new organizations, many of them public-private partnerships, has emerged outside of traditional multilateral institutions (such as the World Health Organization). One focus of these organizations is the so-called “neglected diseases”—a group of infections including yellow fever, tuberculosis, and cholera—that are widespread in the developing world but generally receive little research investment. Using case studies of new approaches to these illnesses, this panel will evaluate recent system-wide reforms in health care research to determine the successes of these innovations.

### **Roundtable**

#### **Government Innovation and Social Justice**

There are few places in the world where everybody starts from a level playing field. On the contrary, concerns with social, economic, racial, ethnic, and gender inequalities—amongst others—are a constant theme and a constant challenge. For most of the second half of the twentieth century, it was felt that greater economic development and better government services would in time lead to a reduction in differences. Unfortunately, as report after report has pointed out, that has not proved to be the case. Increasingly, governments are being asked



to “put people first” and to look at services in terms of their contribution to the construction of citizenship and the effective guarantee of individual and collective rights. Social justice has become a transversal theme, a question to be asked of all areas of public policy provision. In this panel, members of the Liaison Group for Innovations in Governance and Public Action will take a critical look at the progress being made.

#### **Panel 4**

##### **Innovations in Emergency Management: Making Governments Flexible and Responsive**

In the wake of national and international disasters like the 9/11 terrorist attacks and the 2004 tsunami, emergency management strategies that minimize loss of life and restore service delivery quickly are at a premium. Governments must have flexible policies in place to meet the particular human, social, and financial challenges of unexpected and catastrophic events. The participants in this panel will analyze their emergency management experiences to develop procedures for creating disaster policy and for collaborating with citizens once a disaster has occurred.

#### **Panel 5**

##### **The Future of Innovation: 21st Century Models of Governance**

Governments around the globe are seeking strategies to make their outmoded and unwieldy bureaucracies smaller and more cost effective and responsive to the needs of citizens. Public servants are looking to the private sector and to civil society to find ways to govern by network or by market, which is a promising development; but these innovations must also be monitored to ensure effectiveness of implementation. This panel will explore ways to generate governance structures that are flexible enough to meet the twenty-first century’s challenges without replicating the twentieth century’s soaring costs and ineffective policy implementation.



### **Note for Participants**

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Diversity is at the heart of the Global Network. Such diversity contributes to a dynamic, creative learning and working environment where people from all political, religious, ethnic, and social backgrounds convene to learn from each other in the spirit of academic freedom. We are practitioners, scholars, and advocates from many different countries united in the belief that knowledge is created through a two-way exchange of ideas and experiences.

The effectiveness of the Frontiers of Innovation conference will depend upon collegial interactions among participants, speakers, and presenters. This will require a good deal of care to ensure that our conduct with each other is respectful, particularly because we will be working with a number of cultural norms. As inappropriate conduct can arise from a lack of understanding of norms, we offer general guidelines to participants to clarify both standards and the obligations to meet them.

It is a common American practice in an academic setting, where people are learning together and from each other, for participants to address each other, presenters, and staff by their first or given names; this is not intended to be disrespectful or discourteous.

All members of this community of knowledge are entitled to respect. All individuals are expected in their communication to demonstrate respect for each person's worth, dignity, and capacity to contribute.

If each of us makes an honest effort to ensure that we treat others with professional respect and dignity, all of us will enjoy the maximum possible benefit from working and learning together.

We look forward to sharing a productive learning experience with you in the coming days.



### **Small Group Discussion: Structure, Purpose, and Instructions**

*(Please read this prior to the beginning of the first panel.)*

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#### **Structure**

Small Group Discussions will conclude each of the five panel presentations. Tables of 10 participants will discuss and respond to questions that are provided (see next page and following). These Small Group Discussions are scheduled to last 45 minutes.

#### **Purposes of the Discussion**

The primary aim of the Small Group Discussion is to link the personal experiences of participants with information presented in panels, especially as they relate to topics in government innovation.

The results from the Small Group Discussions will be instrumental in identifying and selecting topics for activities and publications of the Global Innovators Network. Also, the results will be made available to attendees to use for their own organizations. Finally, the Small Group Discussion responses will be consolidated and synthesized for publication on the [innovations.harvard.edu](http://innovations.harvard.edu) portal.

#### **Instructions: Two Steps**

##### **1. Choose a Facilitator.**

Select a Facilitator for your table. The Facilitator's duty is to help the Small Group arrive at three key resonating ideas and three key promising approaches, as discussed in Question Number One and Question Number Two (see next page). There is a third question, but this is simply a ranking question. Please note, however, that the ranking question is specific to each panel's topic, whereas questions one and two remain the same for all five panels.

##### **2. Respond to Questions and Submit Results form.**

The Facilitator is responsible for writing down the answers to Questions One and Two and tallying the responses to the ranking question on the form called Results. This form will be picked up immediately following the conclusion of the Small Group Discussion.



## **Questions for Panel One**

### Innovations in Governance: Ethics and Accountability in the Public Sector

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**1. What are the ideas from the panel that resonate most in your small group discussion?** (Please list no more than three.)

- a.
- b.
- c.

**2. What other promising approaches in this area deserve attention?** (Please list no more than three.)

- a.
- b.
- c.

### **3. Ranking Question**

In your country, how seriously do governments take important anti-corruption initiatives?

- 5. Most seriously
- 4. Very seriously
- 3. Seriously
- 2. Not very seriously
- 1. Not applicable



## **Questions for Panel Two**

### **Innovations in Participation: Citizen Engagement in Deliberative Democracy**

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**1. What are the ideas from the panel that resonate most in your small group discussion?** (Please list no more than three.)

a.

b.

c.

**2. What other promising approaches in this area deserve attention?** (Please list no more than three.)

a.

b.

c.

### **3. Ranking Question**

**How effectively do your country's local governments currently engage citizens?**

5. Very effectively
4. Effectively
3. Moderately effectively
2. Minimally effectively
1. Not effectively at all.



### **Questions for Panel Three**

#### **Innovations in Global Health: New Approaches to Neglected Diseases**

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**1. What are the ideas from the panel that resonate most in your small group discussion?** (Please list no more than three.)

a.

b.

c.

**2. What other promising approaches in this area deserve attention?** (Please list no more than three.)

a.

b.

c.

### **3. Ranking Question**

**Below we list several barriers to successful innovation in global public health. Which of these is the most problematic barrier in your own field of work?** (Put differently, removing which of these deficits would most improve the innovation process in your field?)

Lack of end-user influence over innovation (R&D) priorities.

Lack of motivation for investment in basic research and discovery.

Lack of resources to enable uptake of existing innovations by users.

Lack of ability to bridge the "valley of death" between initial discovery and large-scale deployment.

Lack of integrative capacity to treat problem-driven innovation as a system.



## **Questions for Panel Four**

### **Innovations in Emergency Management: Making Governments Flexible and Responsive**

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**1. What are the ideas from the panel that resonate most in your small group discussion?** (Please list no more than three.)

- a.
- b.
- c.

**2. What other promising approaches in this area deserve attention?** (Please list no more than three.)

- a.
- b.
- c.

### **3. Ranking Question:**

**Do you think your local government, backed up by higher levels of government, is adequately prepared to deal with catastrophic events?**

- 5. Strongly agree
- 4. Agree
- 3. Not sure
- 2. Disagree
- 1. Strongly disagree



## **Questions for Panel Five**

### **The Future of Innovation: 21st Century Models of Governance**

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**1. What are the ideas from the panel that resonate most in your small group discussion?** (Please list no more than three.)

- a.
- b.
- c.

**2. What other promising approaches in this area deserve attention?** (Please list no more than three.)

- a.
- b.
- c.

### **3. Ranking Question:**

**Is your government adapting its structures to foster innovation?**

- 5. Strongly agree
- 4. Agree
- 3. Not sure
- 2. Disagree
- 1. Strongly disagree



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## **Charter Agencies, State of Iowa: 2005 Innovations in American Government Award Winner**

The Honorable Thomas J. Vilsack, Former Governor of Iowa

*(This award occurred as a result of Governor Vilsack's leadership)*

Can bureaucratic culture change? Can concrete outcomes prevail over administrative rules in the everyday work of governmental agencies? Can better results be achieved for citizens at a lower cost for government? These are the challenges that all governmental agencies face. Since 2003, the Department of Management of the State of Iowa has been experimenting with the Charter Agency Program, a unique model aimed at improving government. The main goal is for government agencies to enhance their efficiency in exchange for flexibility and authority.

Six governmental agencies (the Departments of Corrections, Human Services, Natural Resources, and Revenue; the Alcoholic Beverage Division of the Department of Commerce; and the Iowa Veterans Home) have volunteered to become “Charter Agencies.” In exchange for their commitment to produce measurable benefits and to help save money—either by reducing expenditure or by increasing revenues—these agencies have received greater authority and flexibility. For example, the director of a Charter Agency can “stand in the shoes” of the directors at the Department of Administrative Services, which allocates general services, personnel, and information technology to the state agencies.

Charter Agencies are also exempt from statutory across-the-board budget cuts and can retain proceeds from asset sales and 80 percent of the revenues they generate, as well as half of their year-end general fund balances. They are exempt from several bureaucratic procedures such as full-time-equivalent employee caps and approval of the Executive Council for out-of-state travel, conference attendance, and professional membership. They also have access to a \$3 million Charter Agency grant fund to foster innovation. Since their creation, and thanks to their high degree of flexibility, Charter Agencies have already produced a myriad of concrete results that have improved the life of the citizens of Iowa. Among some of the most notable results are: improved rates of income tax returns filed electronically; reduced rate of failure of probationers; increased work opportunities for prisoners; and increased number of veterans served at the Iowa Veterans Home. Charter Agencies have successfully reached their target of producing \$15 million in expenditure savings or additional revenues.

The Charter Agency Program is one element of “Reinvention Partnership,” a larger effort undertaken by the Iowa state government. The program is innovative compared to



previous initiatives in two major ways. First, the Charter Agencies' expanded authority is the result of a grant by the legislature and, second, these agencies commit to delivering improved results in exchange for increased authority and flexibility. The Charter Agency model is broadly replicable across all levels of government and the Department of Management of Iowa has received many inquiries about the model.

Contact Information for Charter Agencies at the Iowa State Government:  
Ms. Teresa Hay McMahon, [Teresa.mcmahon@iowa.gov](mailto:Teresa.mcmahon@iowa.gov)

**The Honorable Thomas J. Vilsack** served as the Governor of Iowa from 1998 to 2006, and was the first Democrat elected to the position in 32 years. As Governor, Mr. Vilsack focused on improving education, particularly in early childhood; expanding health care to the uninsured; making the state a national leader in renewable energy; and creating a nationally recognized, efficient, and accountable state government. During two terms as Governor, Mr. Vilsack established relationships among all levels of local, state, and federal government, and worked closely with Iowa-based and national companies involved in Iowa commerce. Mr. Vilsack kept his commitment to serve only two terms as Governor, and ran as a candidate for the US Presidency until announcing his withdrawal from the race in February 2007. In addition to his distinguished public service career, including service as an Iowa State Senator and Mayor of Mt. Pleasant, Iowa, Mr. Vilsack is a highly regarded litigator. He has more than 25 years of trial experience handling complex litigation and class actions with statewide and national implications. Mr. Vilsack is a Distinguished Fellow at Iowa State University Biosafety Institute, and he is currently of counsel in the Dorsey Trial group. His practice focuses on strategic counseling and advising clients in the fields of energy conservation, renewable energy, and agribusiness development.



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## **The Dubai Experience of Government Innovation**

His Excellency Nabil Ali Alyousuf  
hassan.hourani@teo.ae

Dubai started its development journey as a local township with humble credentials. At that time, Dubai had a modest economy and population, but a determined mindset and a clear vision to achieve international excellence and global city standing. Dubai's entrepreneurial leadership defined a challenging strategy to the city, setting the skies as the limit for growth.

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## **BRAC: Building Resources Across Communities**

### **The Coproduction of Governance: Civil Society, the Government, and the Private Sector**

Fazle Hasan Abed  
fatema.ak@brac.net

Mr. Abed will reflect on his own experiences and his own learning over the past 36 years with regard to setting up and running BRAC. His main thesis will be that in a country like Bangladesh, it is possible to make a significant positive change in the lives of the poor and other marginalized people, including women. In fact, “it is possible to bring hope back!” He will recollect how he decided to move to the uncharted territory of “development” and to leave his secure career in a multinational oil company.

BRAC started as a small relief and rehabilitation effort in a remote rural district of Bangladesh after the liberation of the country. Early on, it became clear that relief was not the way to make a sustainable improvement in poor people’s lives, and BRAC started experimenting with “development.” Different projects on health, education, and economic development were piloted. Some were successful while others were not.

Mr. Abed will explore a major question that BRAC faced with regard to successful programs and agencies: how should they be dealt with? The traditional wisdom was that the government would replicate them, but given the situation prevailing at that time, it was not going to happen.

Mr. Abed will discuss the example of an early successful program. The year 1979 was named the “International Year of the Child,” and BRAC knew from its work that high infant mortality and fertility were major problems facing the country. BRAC also knew that people would not lower the number of children born to their families until they were sure that their children would survive to complete a desired family size. Diarrhea was one of the most prevalent causes of childhood death. BRAC decided to make the importance of oral rehydration known to the mothers. With a successful pilot, BRAC started teaching mothers about this in every household throughout the country. This was the first time that BRAC took one of its programs nationwide. This gave BRAC the experience of how to organize and plan for upscaling programs. After this, BRAC undertook nationwide programs in many areas, including health, education, and microfinance.

Mr. Abed will demonstrate that BRAC’s strategy is to first test the effectiveness of an idea through pilots, then to examine their efficiency before scaling up. BRAC is now the



largest NGO in the South, but it has not remained restricted to working within Bangladesh alone. Its programs are now found in diverse settings such as Afghanistan, Pakistan, Sri Lanka, Uganda, Tanzania, and Southern Sudan.

One of BRAC's distinguishing features is its belief, and consequent investment in capacity development. To this end, BRAC has set up a university. It has graduate schools in public health, development studies, and governance studies. BRAC University works with many universities in the North, including Harvard, to improve its curriculum in terms of both the science and art. BRAC also works very closely with national governments to improve governance of the public sector. In fact, BRAC works with the government in implementing many of its programs. These include a focused effort on immunization, and the two serious problems of tuberculosis and malaria. BRAC believes in synergy, and thus works in partnership with other stakeholders, including the government, the private sector, and donors. BRAC trains government bureaucrats and doctors through short certificate courses and long-term master's programs. Dr. Gowher Rizvi helped BRAC design a master's degree program for the government civil servants. Finally, Mr. Abed will conclude by highlighting another of BRAC's key distinguishing features—the fact that it finances its development programs. Of the (USD)\$430 million annual budget in 2007, BRAC generated 70% of it from its own enterprises within the country.

**Fazle Hasan Abed** was born in Bangladesh in 1936. Abed was educated in Dhaka and Glasgow Universities and qualified as a Chartered Accountant in London. The 1971 Liberation War of Bangladesh had a profound effect on Abed, then in his thirties and holding a senior Corporate Executive position at Shell Oil. The war dramatically changed the direction of his life: he left his job and went to London to devote himself to Bangladesh's War of Independence. There, Abed helped initiate the "Help Bangladesh" campaign, organizing funds to raise awareness about Bangladesh. After the war, Abed returned to the newly independent Bangladesh to find the economy of his country in ruins. Millions of refugees, who had sought shelter in India during the war, started trekking back into the country. The tremendous need for humanitarian relief called for urgent efforts. Abed decided to take action by setting up BRAC (formerly, the Bangladesh Rural Advancement Committee), dedicated to the rehabilitation of returning refugees in a remote area in northeastern Bangladesh. This work led him and BRAC to deal with the long-term task of improving living conditions of the rural poor. He focused his organization's efforts on helping the poor develop their capacity to manage and control their own destiny. Thus, BRAC's primary objectives emerged as alleviation of poverty and empowerment of the poor. In the span of only three decades, BRAC grew to become the largest non-governmental development organization in the world, in terms of its scale and the diversity of its interventions. Abed has been recognized with a number of awards, including the Ramon



Magsaysay Prize, the UNICEF Maurice Pate Award, the Olof Palme Prize, Schwab Foundation's Social Entrepreneurship Award, UNDP's Mahbub-ul-Haq Award, the Henry R. Kravis Prize in Leadership, and the first Clinton Global Citizenship Award. He is also a founding member of Ashoka's Global Academy for Social Entrepreneurship, and has received several honorary degrees, including Doctor of Humane Letters from Yale University.



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## **The Dubai Experience of Government Innovation**

His Excellency Nabil Ali Alyousuf  
hassan.hourani@teo.ae

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**Dubai**

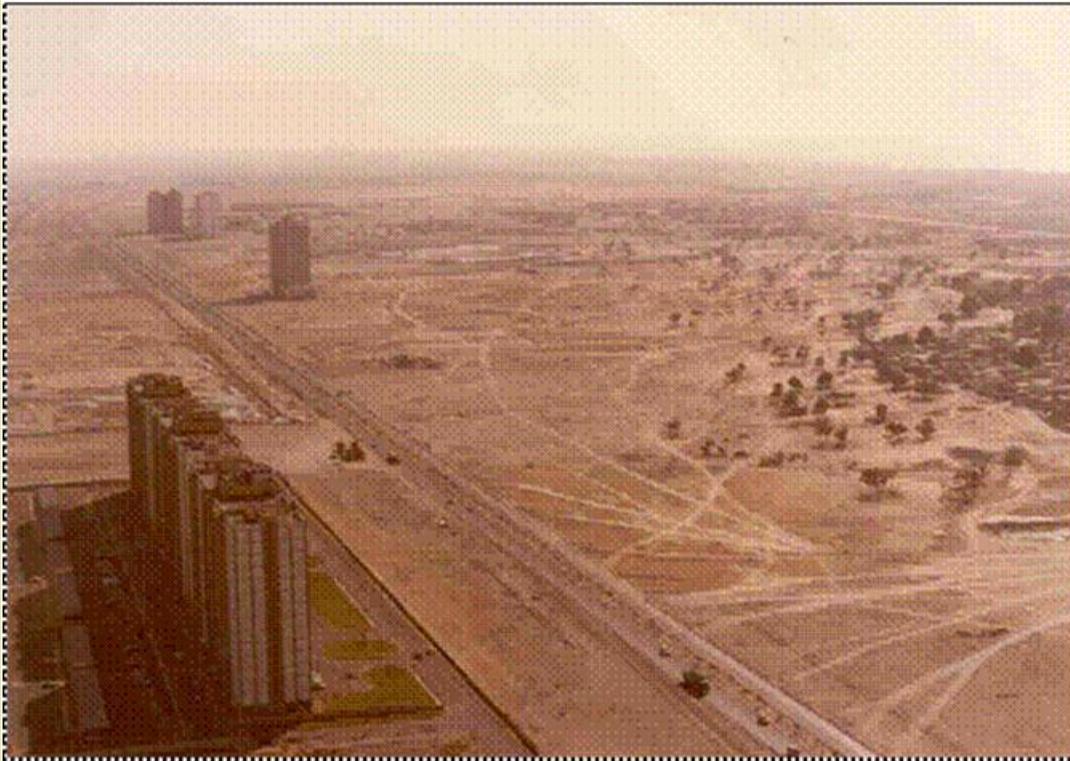
*April 1<sup>st</sup>, 2008*



# The Dubai Story

## Early Beginnings...

1991



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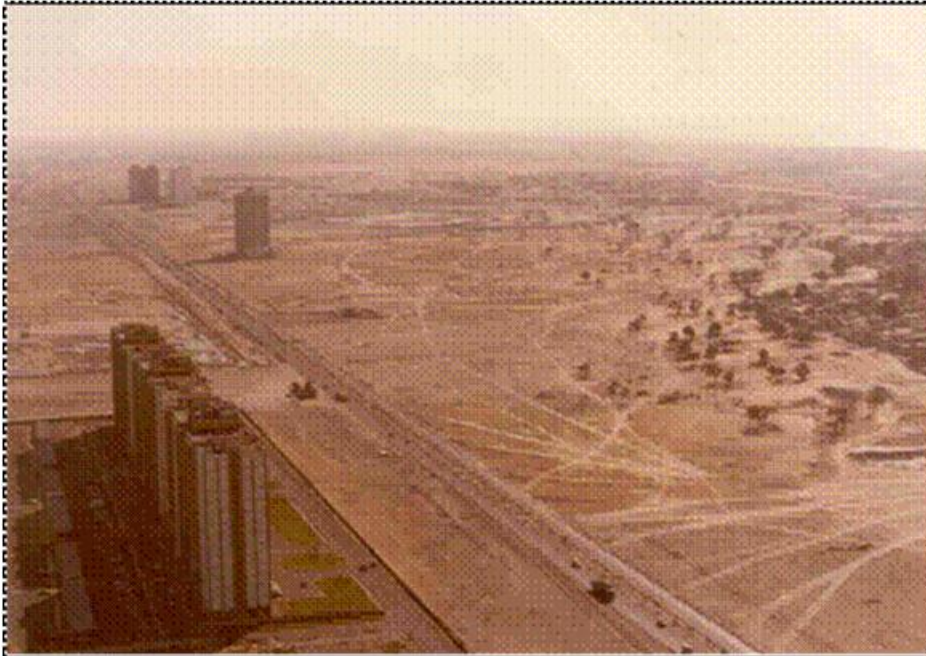
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# The Dubai Story

15 years later

**1991**



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# The Dubai Story

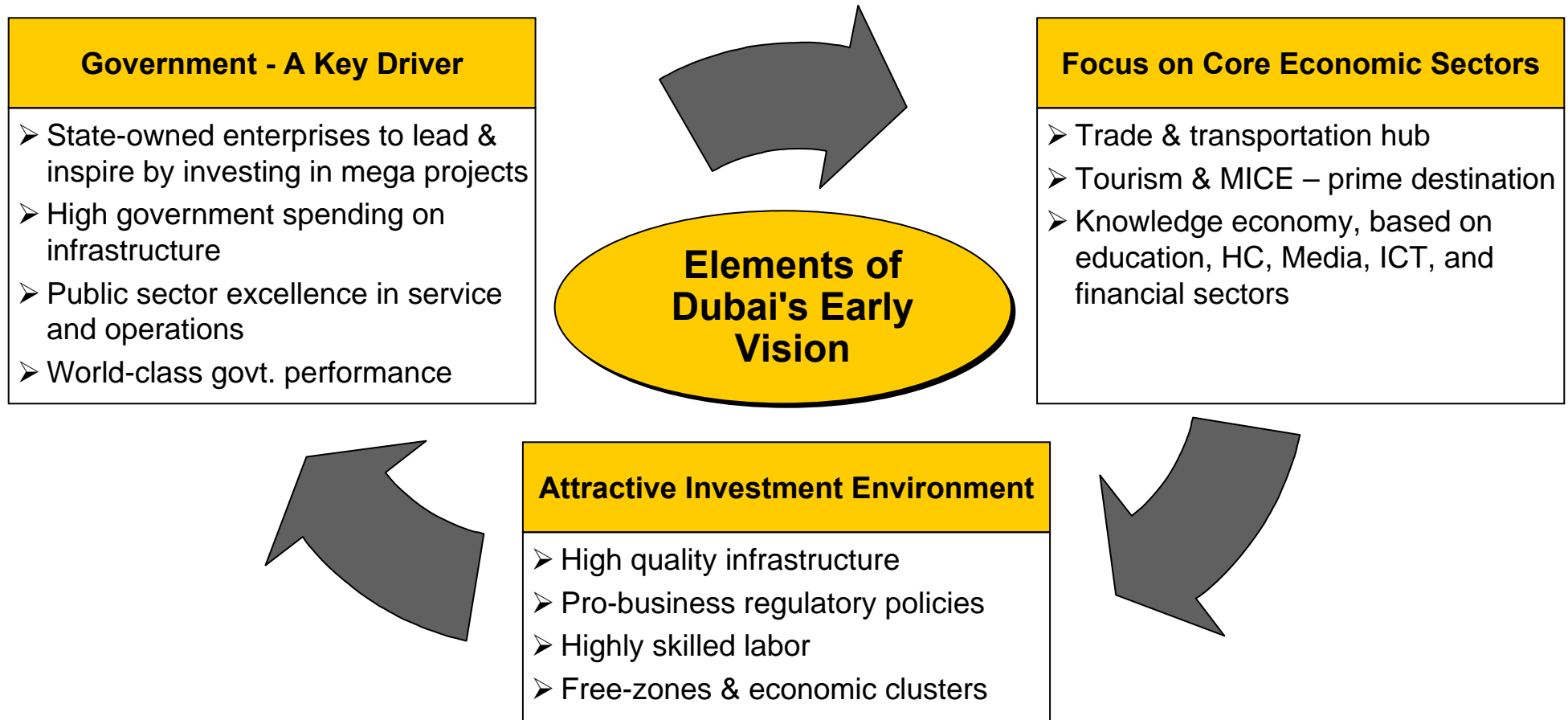
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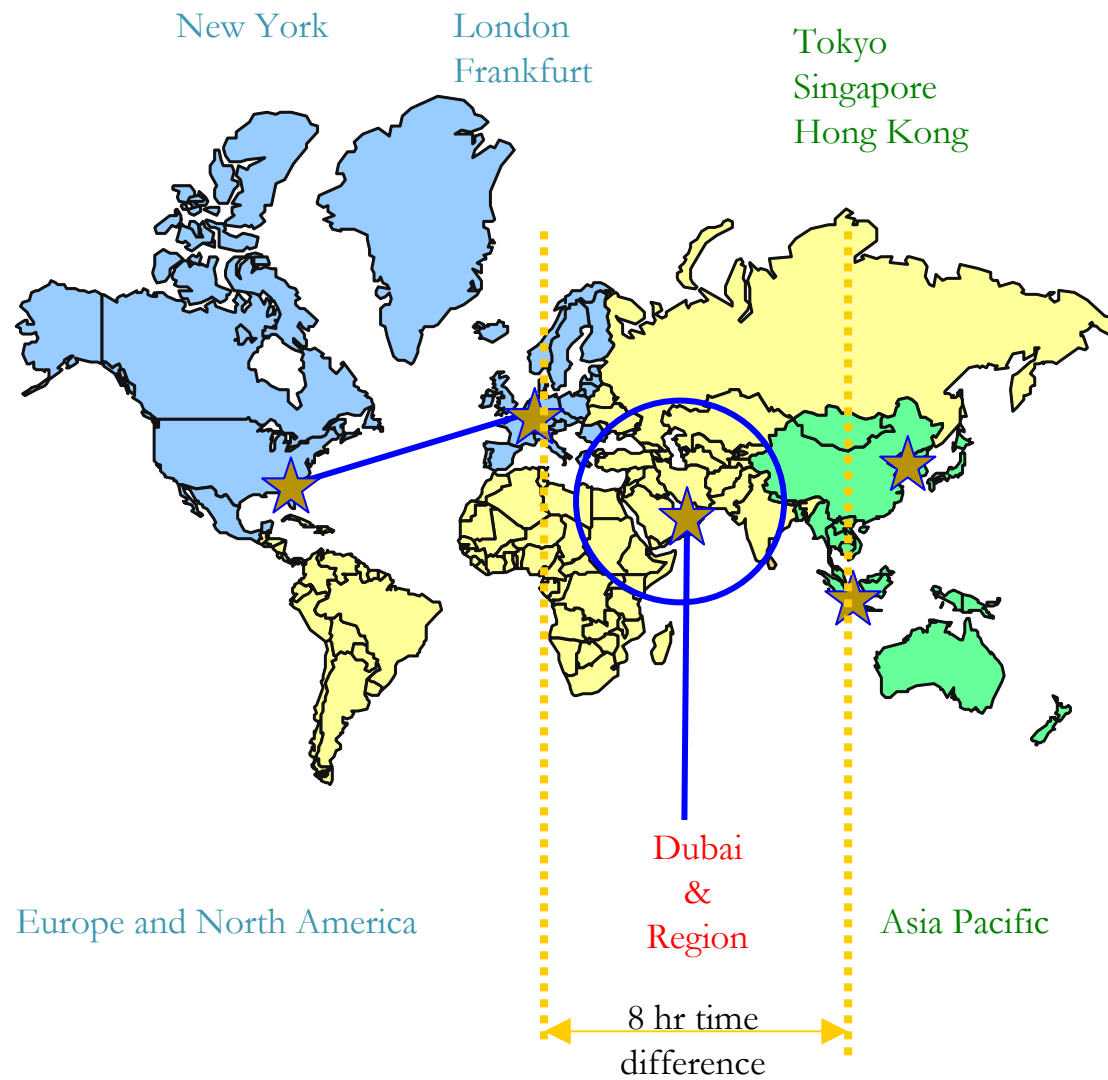


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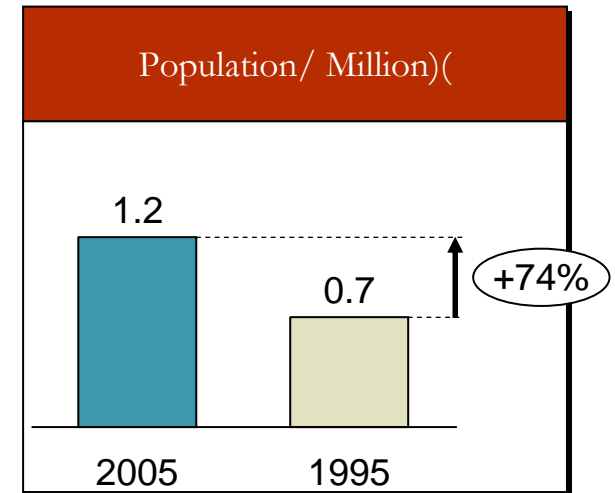
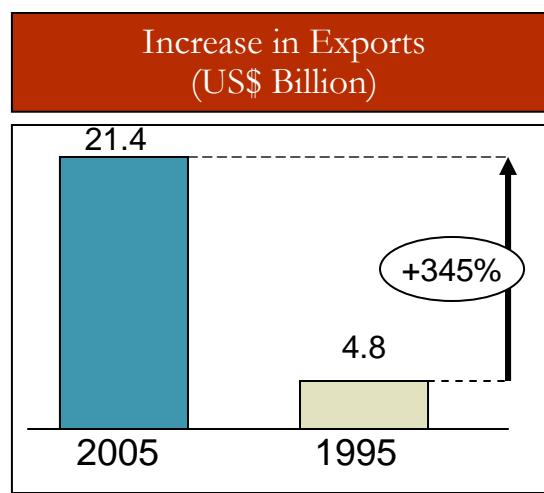
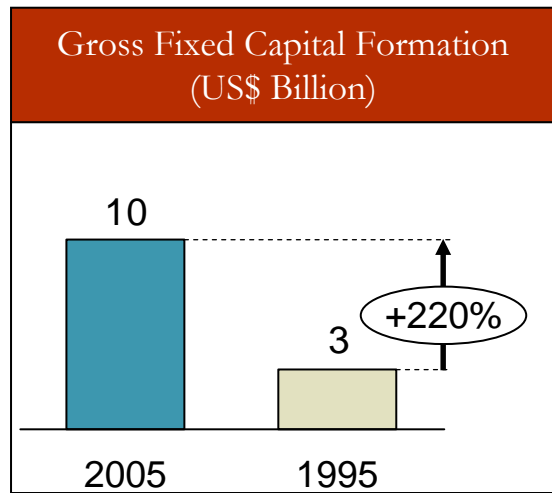
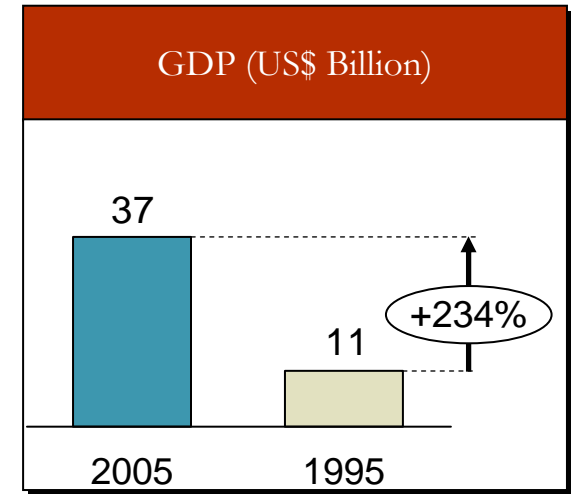
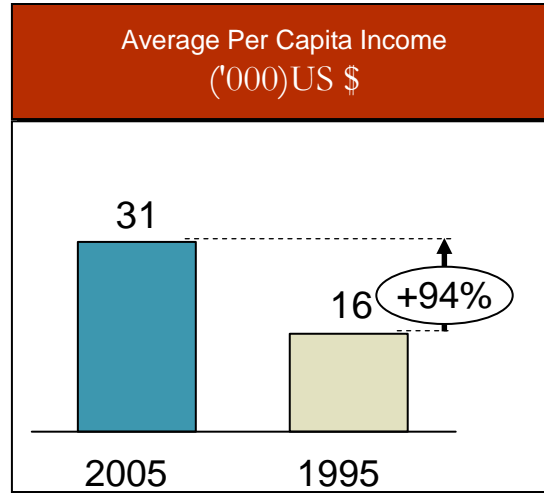
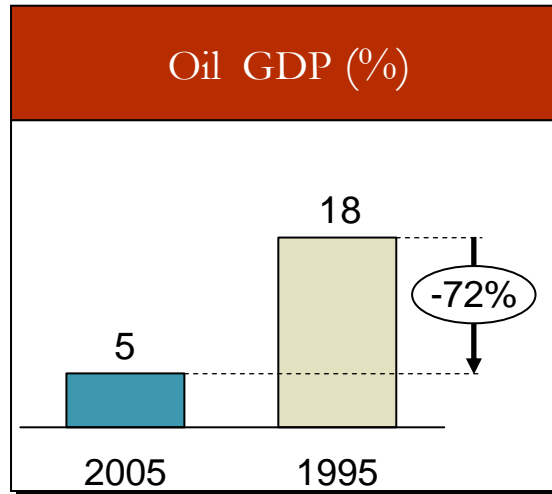








# Economic growth and diversification







## Knowledge clusters... regional hub ...

### Education



### Media & Information, and Communication Technologies (ICT)



### Financial Services



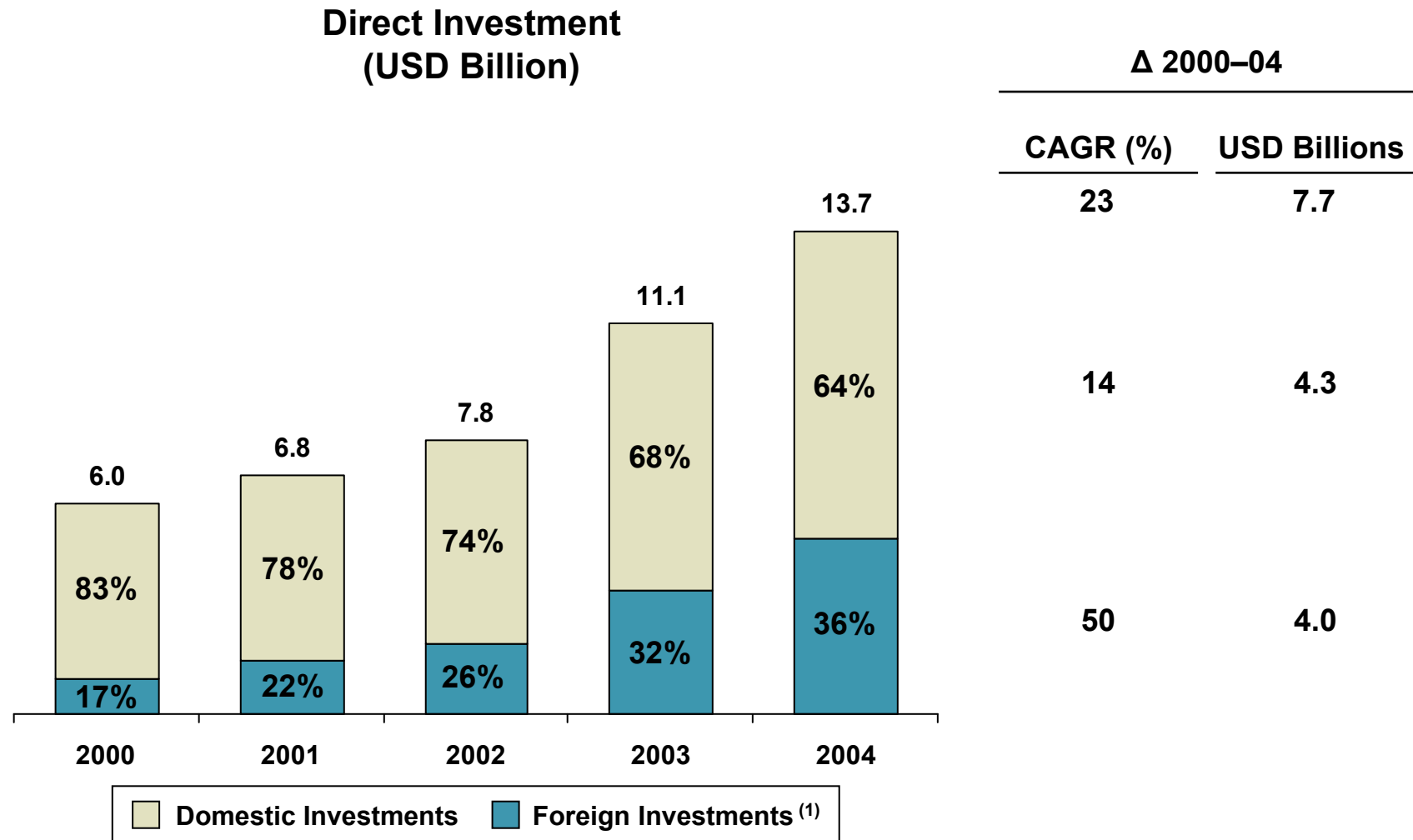
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## Jebel Ali Port

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## Dubai World Central

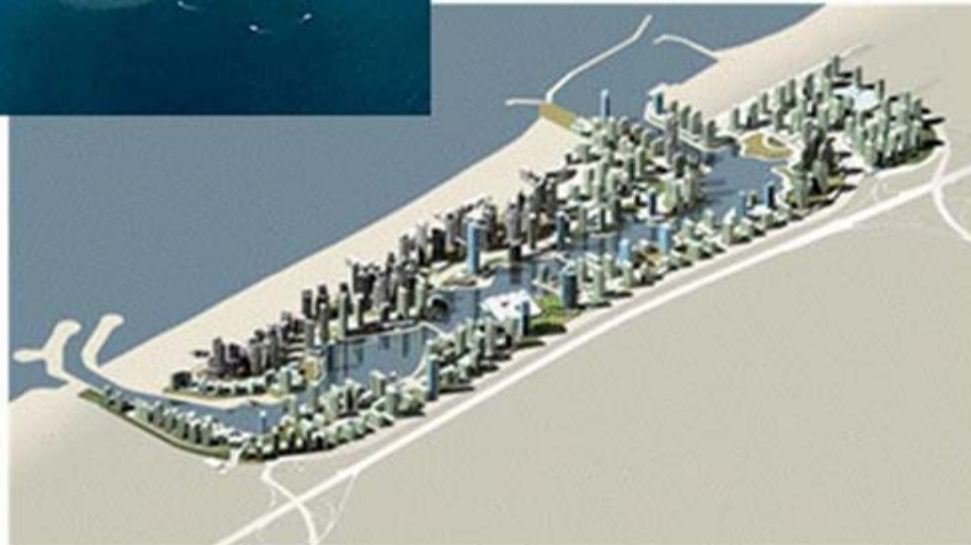
- Dubai World Central is a pioneering new air transport hub that will transform the region into one of the most powerful global centers for logistics, tourism and commerce, and will be the world's 1<sup>st</sup> multi-model logistics transport platform.







## A real estate development 'story'







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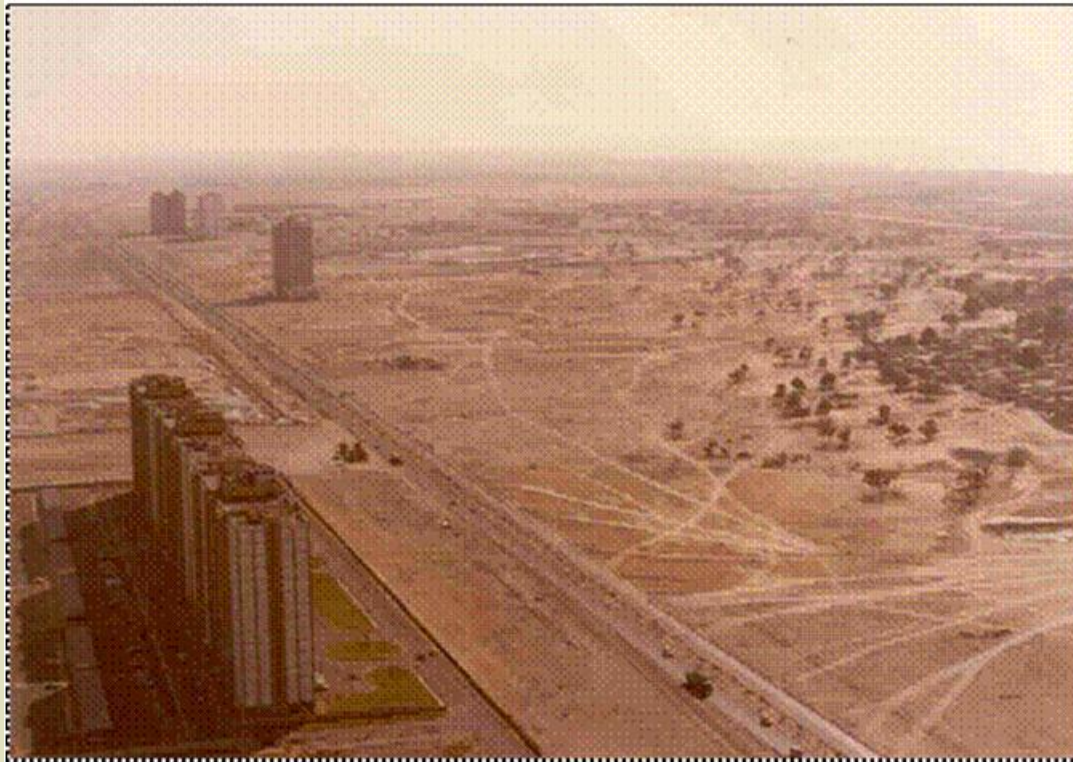
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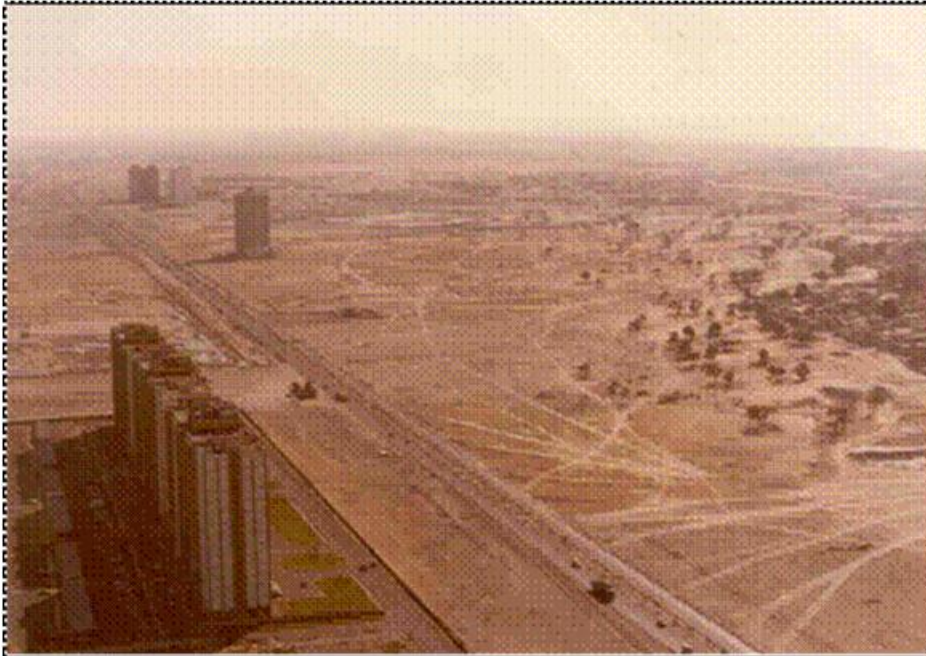
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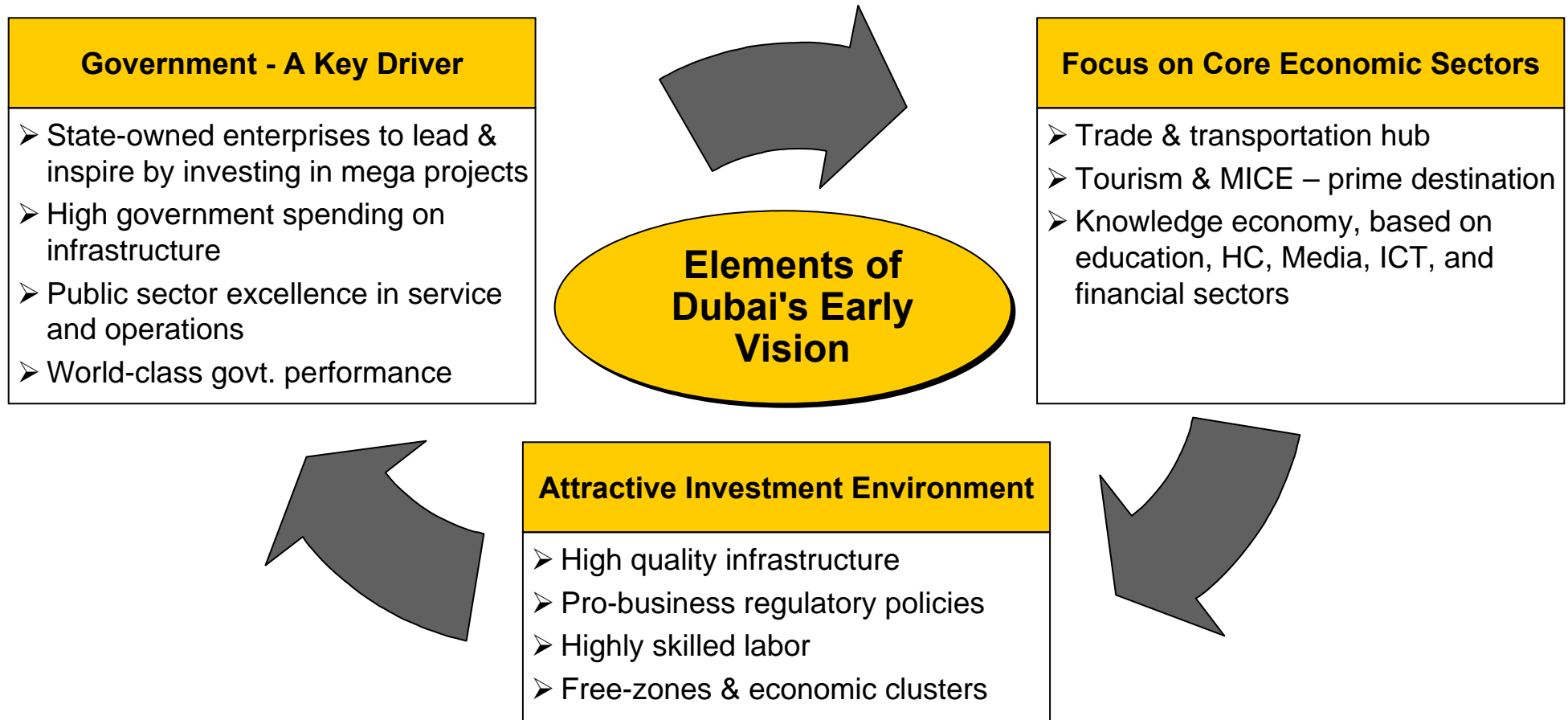
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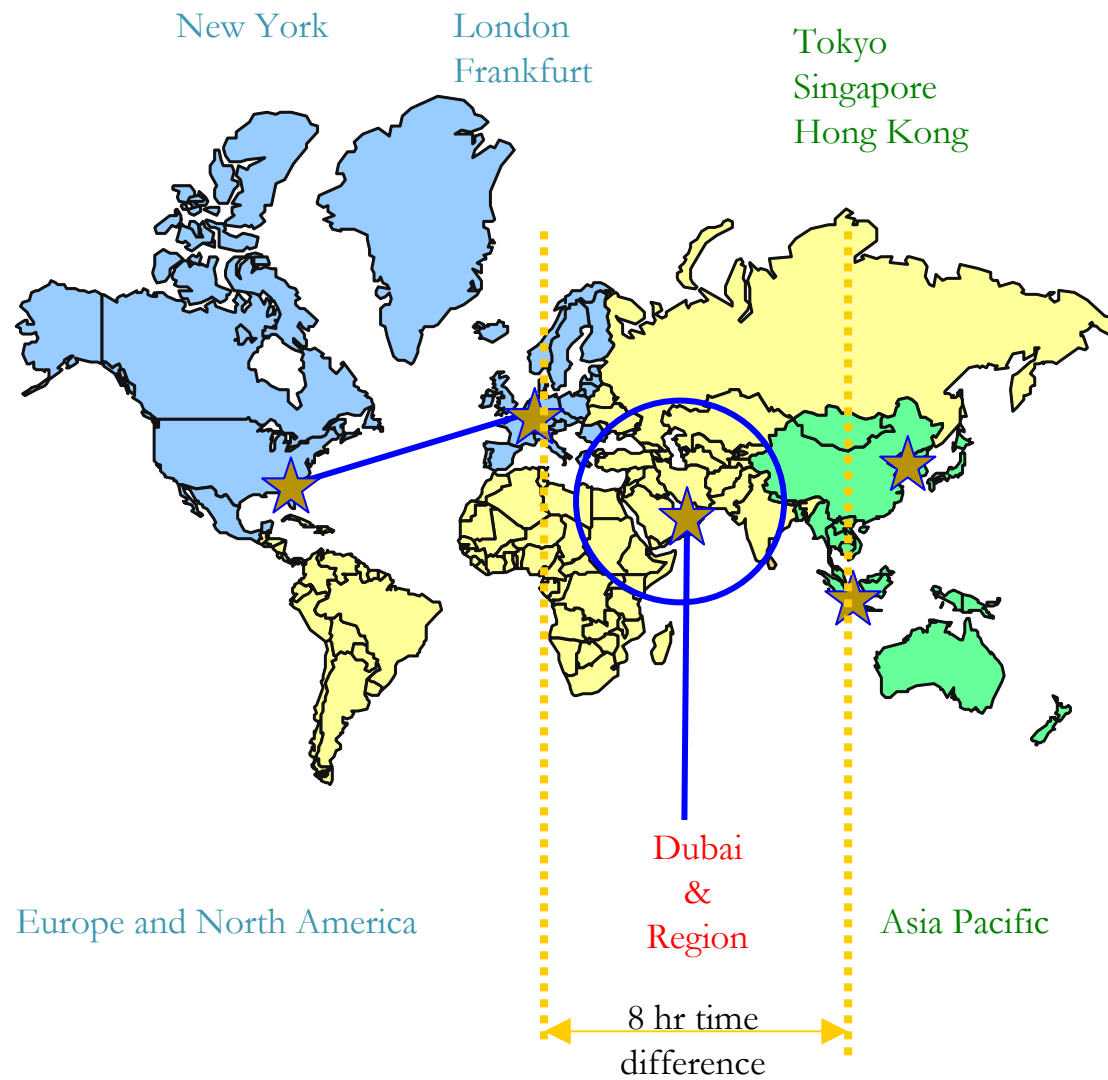


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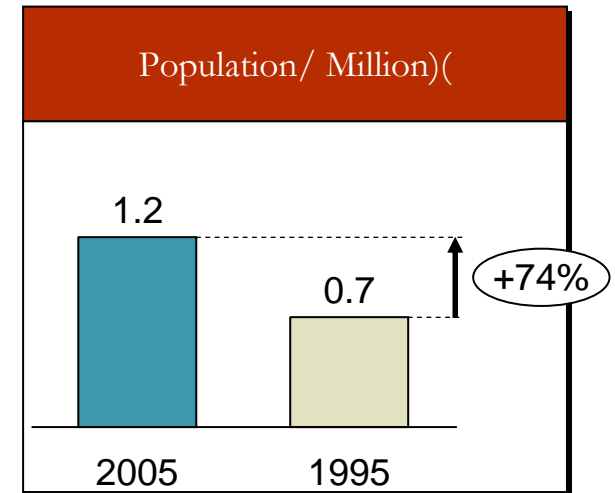
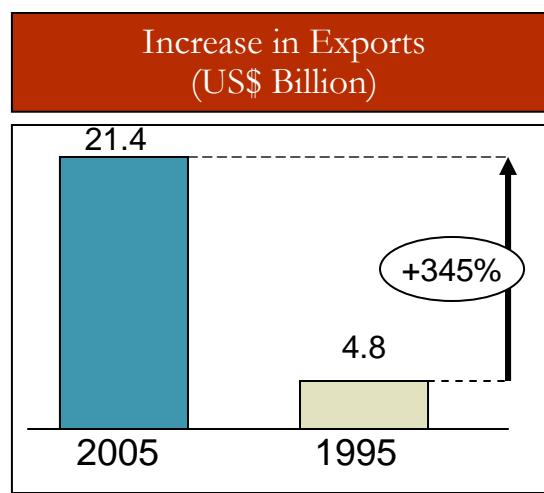
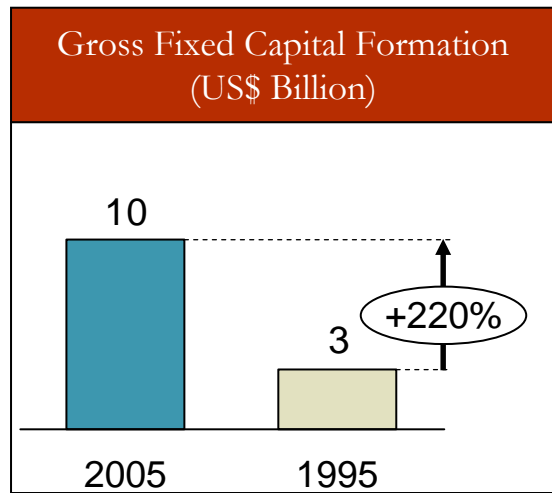
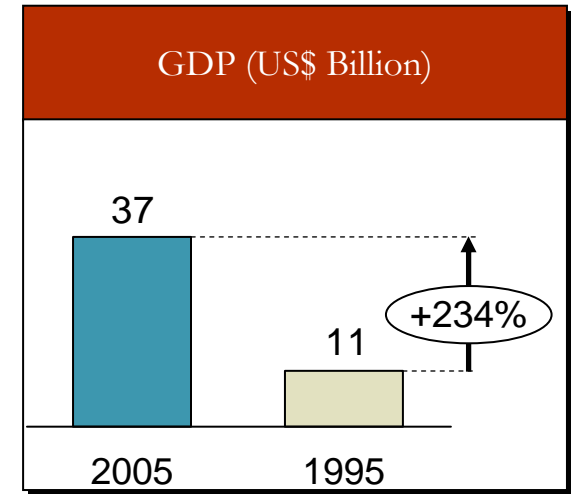
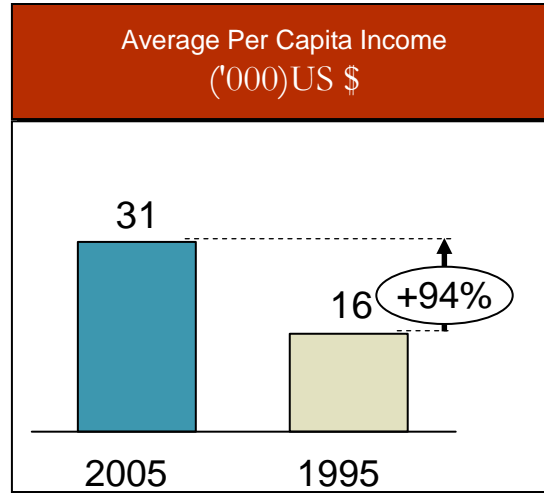
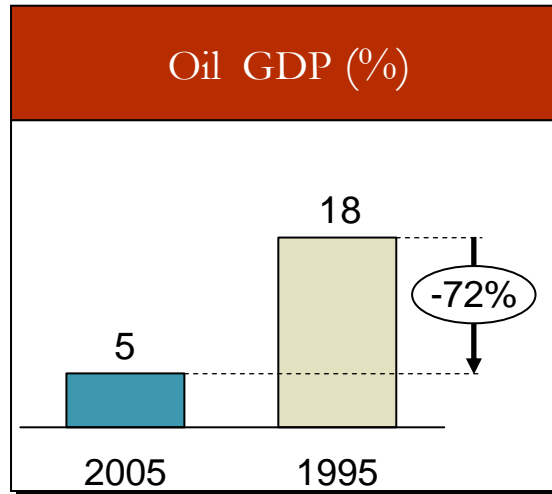








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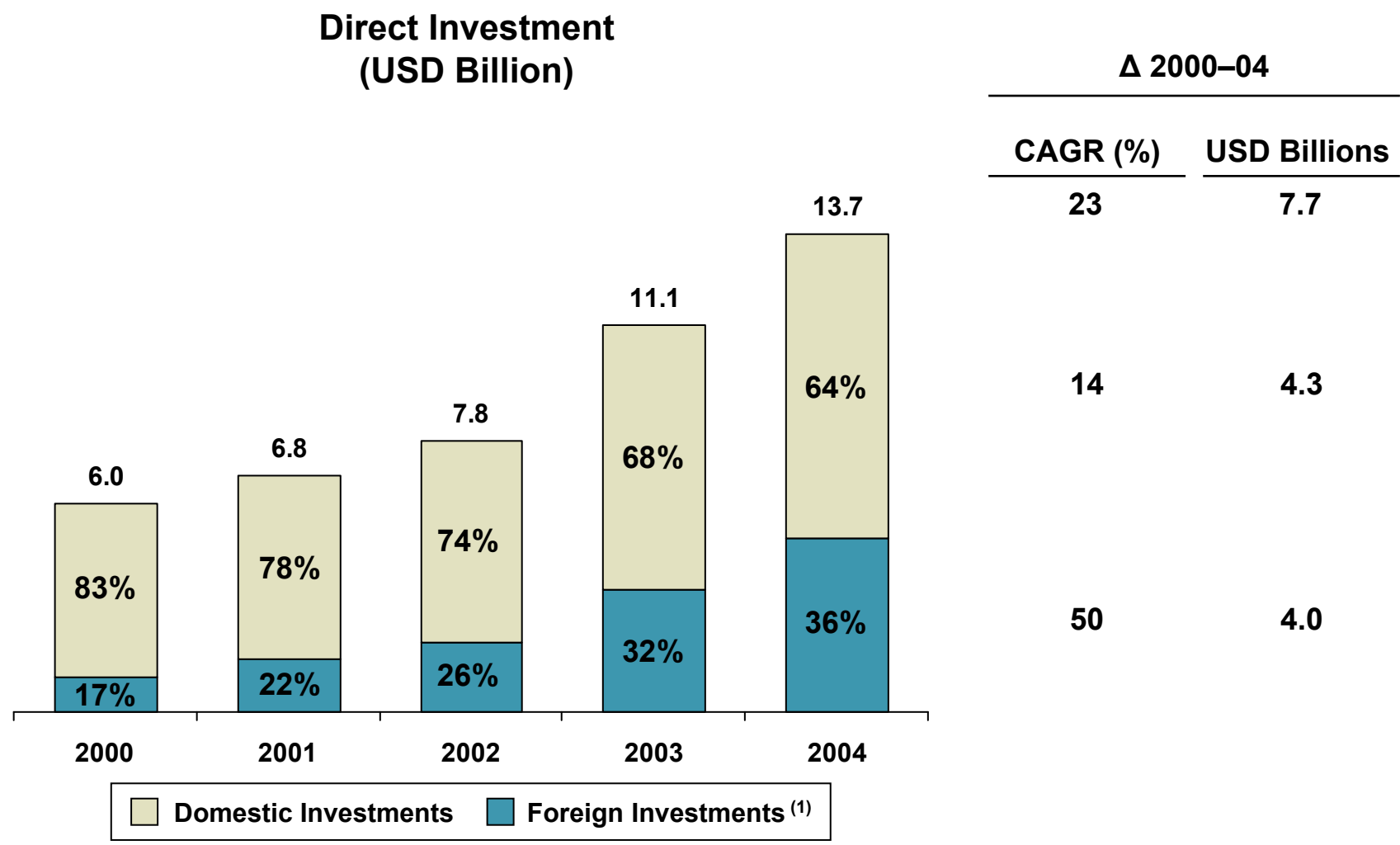
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## **Innovations in Governance: Ethics and Accountability in the Public Sector**

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### **Setting the Context**

Professor Kenneth Winston, Harvard Kennedy School  
kenneth\_winston@harvard.edu

It is often said that public office is a public trust. Yet we know that corruption is a pervasive problem in many countries, and sometimes so deeply entrenched that it defines the whole character of public life. That makes the safeguarding of public values often a precarious undertaking, and one that requires constant vigilance.

This panel is about forms of vigilance, the never-ending work of enabling the promise of good governance to be realized. Preserving public values is like tending a garden: it requires constant attention—planting, cultivating, nurturing, weeding, and so on. The challenge is to bring natural forces under control and have them serve human ends. Hence, the importance of studying promising innovations. Why did things go wrong in the past? What has worked for others? Can we find models to replicate and transport to other places? Finding answers to these questions is crucial to enhancing the moral competence of public leaders.

The most common understanding of corruption is that it is the misuse of public power for personal gain. Typically, this involves violation of the duties of public office. The personal gain may be private (e.g., self-enrichment) or professional (e.g., trading official acts for campaign contributions). Violation of official duties can also occur for allegedly altruistic reasons, as when a police officer lies in court in order to convict a “bad guy.”

A somewhat broader understanding is that corruption is the misuse of public power at public expense. This is broader because it recognizes the variety of ways in which groups, not just individuals, can undermine public values. These groups include any collective body with a strong influence on public decision making, which acts to favor its own interests over the common good. Corporations, voluntary associations, as well as government agencies may take on such behavior.

Among the promising innovations that have captured attention in recent years are various forms of transparency. “Transparency” has become something of a buzzword and a cliché, so we need to be careful. We should not assume we necessarily understand what it



means in specific contexts or what its connection is to accountability and the promotion of public value.

Mechanisms of transparency facilitate the public release or disclosure of information, usually with the aim of improving the quality of decision making. But, whether the availability of information in a specific case makes a practical difference depends, in part, on whether it reaches the right parties and whether those parties are able to mobilize to act on the information obtained. The U.S. Congress has various disclosure requirements, and as a result, much information is available. That doesn't mean the information reaches parties that are able to take effective action against the misuse of power.

Transparency works by exposure, and can shame individuals into good behavior. But, what is the basis of this shame? What value or ideal is at stake? Here there are two common arguments about corruption that we should consider: it is an impediment to economic growth, and it is an impediment to democracy. It would be comforting if we knew that either of these propositions was uniformly true. Unfortunately, neither claim is entirely persuasive. Some countries have impressive rates of economic growth even with widespread corruption, and some democratic countries are no less corrupt than some autocracies (just as some autocracies are much less corrupt than some democracies).

Perhaps a third idea, independent of the other two, should be considered: corruption undermines the aspiration to create an orderly, fair, and decent society. This has to do with the quality of relationships among citizens, rather than more direct economic or political goals.

Transparency is also of interest because it illustrates the maxim that institutions can be better than people. Or, perhaps we should say: when people operate within certain institutions, their better nature is nurtured. Institutions vary in the degree to which they rely on personal integrity and a sense of professionalism. When exposure is the mechanism, for example, integrity is less important. What is crucial is facilitating ways of monitoring other people's conduct. Thus, creating a system of checks—and sometimes balances—involves not transforming human beings but redesigning the environment within which they operate. The idea is that, since corruption typically depends on secrecy, if people are in a position to review each other's work, it is more likely people will promote public values. And, that is what we are trying to achieve.

The three panelists address this set of issues in different ways and at different levels of specificity.

**Stephanie Hirsch** is director of SomerStat, for Somerville, Massachusetts. SomerStat is a system of accountability that aims to make city government more responsive to people's concerns, by maintaining high standards of service while controlling costs. I should note that SomerStat is based on CitiStat, an Ash Institute award winner in 2004. CitiStat, in turn, was



based on CompStat, also an award winner, in 1996. It is of interest not just in itself but also because of this replication.

**Aruna Roy** is one of the cofounders of MKSS in India, which translates roughly as “Organization for the Empowerment of Workers and Peasants.” In the work of MKSS, transparency and accountability are components of more ambitious efforts at democratic development and the empowerment of rural people. Combating corruption is an integral component of constructing an alternative model of grassroots democracy. With MKSS, the release of information is often followed by confrontation, because of the divergence between official accounts and the local population’s knowledge. This is not just a matter of collective verification but of asserting political power. Sometimes, indeed, confrontation is necessary to get the information in the first place. For example, documents will not be released unless there is a sit-in protest. Thus, MKSS’ efforts at achieving transparency and accountability often involve an escalation of tactics.

**Frederick Sumaye** is a former prime minister of Tanzania, and will talk about a different kind of escalation. When institutional reform isn’t effective by itself in addressing the problem of corruption, perhaps because corruption is too deeply entrenched, then more drastic actions may be necessary. Fred Sumaye’s story is an example of such drastic action, involving dismissal of a democratically elected, but corrupt, city council. Although only a one-time event, there were many requests at the time for replication in other cities and towns in Tanzania. And, in this context, we could think about the current situation in Bangladesh, where two democratically elected but deeply corrupt political parties were displaced, at least for a time, by a technocratic government backed by the military.

**Kenneth Winston** is a Lecturer in Ethics at the Harvard Kennedy School, teaching practical and professional ethics. He created the Kennedy School's course on ethics for Mid-Career students, which has been offered since 1986. In recent years, he has helped to build the school's capacity in comparative and international ethics, developing new cases and teaching in overseas venues, especially in Asia. As of January 1, 2008, he is Faculty Chair of the Kennedy School's Singapore Program. Dr. Winston has written extensively on case teaching, professional ethics, and legal theory. He holds degrees in Philosophy from Harvard College and Columbia University. He has been a Fellow of the American Council of Learned Societies, a senior research fellow of the National Endowment for the Humanities, and a John Dewey Senior Fellow.



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Ethics and Accountability in the Public Sector

**The Next Step for Stat Programs: Using Real-Time Data for Municipal Management**

Stephanie Hirsch

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Somerville, Massachusetts, has built on the successful “Stat” management model and is pioneering a method of city management that relies on real-time data to manage all aspects of operations. Each initiative, SomerStat program, 311 call center, resident notification system, resident feedback forums, and the activity-based budget allow the city to use data to rationalize operations, and to help improve service delivery and to implement innovation in even the tightest of fiscal times. Somerville has borrowed from the best innovators in the municipal and private sectors to implement a model of municipal management that uses real-time data analysis for virtually all policy and operational decisions.

SomerStat is based on Baltimore’s (Maryland) successful and much-replicated CitiStat model. SomerStat holds weekly, biweekly, and monthly Stat meetings with 15 City departments. Like Baltimore, SomerStat launched a 311 call center. However, SomerStat also borrows from private sector models of real-time data management. By drawing from best practices in both sectors, and by taking advantage of the flexibility that the city’s relatively small population (77,000) allows, Somerville has been able to intensify its reliance on data for decision making.

Somerville uses data in the following, integrated ways:

**Real-Time Data Mining:** Since the inception of SomerStat, the Mayor's Office has mandated that all data used in the city be centrally accessible in the SomerStat Office. These include more than 50 data sources, including enterprise-wide systems, stand-alone tracking systems, and mainframe legacy systems. The SomerStat staff use these data to drill down and to investigate specific operational and policy issues, and to link data across departments.

**311 Center:** The 24-hour 311 call center captures all resident questions and work requests by phone or online. These are fed into daily staff meetings, and weekly or monthly SomerStat meetings.

**Resident Notification System:** 311 has allowed residents to easily contact the City and real-time data monitoring allows the City to know very quickly if something has gone wrong somewhere in Somerville. The City has also implemented a phone and e-mail notification system that, within minutes, communicates back to residents when something happens that affects them.



Resident Feedback Forums or “ResiStat” Groups: SomerStat runs bimonthly meetings for 18 neighborhood and special sub-populations groups, including non-native English speakers, young adults, and parents. At the meetings, groups share SomerStat data and solicit problem-solving ideas.

Activity-Based Budget: Somerville is in its third year of managing the budget on an activity basis. Budgeted and actual City spending get allocated to functional areas of departments and then to outputs and performance metrics of those functional areas. This exercise allows the City to look at the net cost implication of all decisions and to share this with the public.

Because of the increasing automation of transactions in all sectors, stores of administrative data, if regularly studied, provide insight into any organization's operations. Relatively few businesses or governmental entities, though, use all of the data available to make decisions. By consolidating data into a central data warehouse, developing systems to solicit additional data, and analyzing and discussing data continuously with all stakeholders, Somerville has pioneered the use of real-time data for daily decision making.

**Stephanie Hirsch** came to Somerville, Massachusetts, from the Boston Police Department (BPD), where she supported command staff with analysis of operations and crime data. Prior to work at the BPD, Ms. Hirsch worked with the University of Chicago and the City of New York to use administrative data to develop performance-based contracts and monitoring tools for child welfare providers. Hirsch has a master's in Business Administration from Harvard Business School, and a bachelor's degree from Swarthmore College.

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Ethics and Accountability in the Public Sector

### **The Role of Mazdoor Kisan Shakti Sangathan (MKSS)**

Aruna Roy  
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#### **What was the problem?**

The Mazdoor Kisan Shakti Sangathan (MKSS) is a peasant and workers non-party people's organization, which empowers people to access their democratic and civil rights. It is based in Rajsamand District, Rajasthan, in northwestern India. The MKSS also works on a number of laborer and farmer issues, and addresses problems arising from the lack of access to basic services and the poor delivery of government programs at the village level. This lack of



access to schooling, wages, livelihood, work, medicine, and a host of other facilities affect—for people living on the margins—the basic right to life itself.

#### **What was the innovation?**

The people asked to see records maintained in the offices relating to expenditure of their village council on payment of wages, infrastructure, and services. When denied these rights, the MKSS accessed some records and disclosed the details to a concerned group of villagers in December, 1994. When the information was revealed, chaos broke out, as people were appalled at the fabrication of facts and demanded accountability. This gave birth to a process of public audit where records were read out in front of thousands of villagers, who testified about the veracity of these documents. This process, called a “Public Hearing,” later evolved into a systemic tool officially called a “Social Audit,” now a part of the formal monitoring system. This process established the facts, and a prima-facie case was presented to government for further action.

Simultaneously, resistance from officials to parting with records led to a well articulated demand for comprehensive legislation toward transparency and accountability. This demand became a nationwide campaign—the National Campaign for People’s Right to Information—to legislate a Right to Information Act, proscribing transparency and accountability as a democratic right under Article 19-1-A of the Indian Constitution. This demand, raised in 1994, was met, and resulted in the Indian Parliament passing the Right to Information Act in May 2005.

#### **What were the obstacles?**

The beginnings of this movement have grown into a broad based campaign with multiple challenges. Because of limited time, we will concentrate only on the social audit process and its challenges. Some of them were:

- a) Recognizing and legitimizing the process of public audit.
- b) Institutionalizing the informal platform of public hearings into the formal structure of the public social audit.
- c) Creating conditions necessary for the people on the margins to speak out without fear.
- d) Ensuring participation by all sectors of society.
- e) Establishing standards, procedures, and necessary action in the formal structure.
- f) And, extending the process to other areas.

#### **What were the results?**

This was a process, which organically sought to evolve systems and methods to ensure transparency and accountability, through people’s participation and public vigilance. The



other aim was to address entrenched corrupt practices and break the nexus between the bureaucracy, the elected representatives, and vested interests in society. Two major breakthroughs have been the enactment of the Right to Information Act (2005) and the social audit as a statutory requirement under the National Rural Employment Guarantee Act (2005). The implementation of both acts is now a continuing challenge, where the use of social audit continues to play a major role in monitoring the implementation of the acts.

**Aruna Roy** is a social and political activist. She was born in Chennai in 1946, and worked in the Indian Administrative Service from 1968 to 1975. She resigned in order to devote her time to social work and social reform. She joined the Social Work and Research Center in Tilonia, Rajasthan, where she worked until 1983. Her husband Sanjit 'Bunker' Roy had set up this organization. In 1987, Ms. Roy moved to Devdungri, Rajsamand District, Rajasthan, and worked with Shanker Singh, Nikhil Dey, and many others to form the Mazdoor Kisan Shakti Sangathan, a grassroots peoples' organization devoted to participatory democratic struggle. Aruna Roy is also one of the founders of the movement for the Right to Information (RTI) in India, which has been credited with getting Right to Information laws passed in several States, including the Rajasthan Right to Information Act passed in the year 2000. The RTI movement and campaign also played a crucial role in the passage of strong national legislation for the Right to Information in the year 2005.

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Ethics and Accountability in the Public Sector

### **Drastic Measures to Eliminate Corruption**

Frederick Sumaye, Former Prime Minister of Tanzania  
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#### **What was the problem?**

Dar es Salaam had a city council that was not performing, not collecting revenues, and riddled with corruption. City Councilors routinely fought over what would bring in money. All the while, no one was collecting garbage, the roads were a mess, and the whole city was stinking with filth. Even though citizens wanted change, corruption prevented the fair turnover of officials via elections. Finally, since Dar es Salaam is a large economic and transportation inlet, tourists and business people who arrived in the airport or through the harbor had a very negative impression of the city.



**What was the innovation?**

After seeing that all other avenues had completely failed, Prime Minister Fred Sumaye gave the Council an ultimatum to change or else the federal government would dissolve the City Council. The City Council failed to comply, and things continued to deteriorate. Prime Minister Sumaye went to the President and explained the situation. In agreement, the President told Sumaye to write a cabinet paper expressing the general consensus that the government would take stern measures. The paper deliberately did not specify timetables in order to avoid administrative challenges. During the 2006–2007 budget speech, the Prime Minister announced dissolution of the City Council, and in its place, established a City Commission under an Executive Chairman. The Executive Chairman, who was appointed by government, had a mandate to run the affairs of the city to rectify the problems, end the corruption, and bring order to city responsibilities. The very moment that the Commission was announced, it came into being.

**What were the obstacles?**

- a) Although the government followed all the rules of procedure as laid down by the law, some people argued that the City Council was a democratically elected body, and the Prime Minister should not be able to dissolve it.
- b) There was also resistance from the ruling party, Prime Minister Sumaye's own party, because a majority of the city's representatives to the party were former members of the City Council, and there was a worry that the party's strong support would be diminished. In fact, the President actually requested Sumaye not to continue because of pressures received from party regional leaders. However, Sumaye told him that they could not turn back. He added that he would resign if this measure did not work.
- c) There was resistance from some members of Parliament: former City Councilors, and naturally, people who benefited from corruption.
- d) There was lack of continuity from earlier to subsequent administrators, as the Commission was given two years to clean up the city before power would be handed back to the elected body.

**What were the results?**

Before the City Council was dissolved, it was collecting between 800–900 million shillings per year. After these measures, the Commission collected more than 8 billion shillings, a ten-fold increase. Roads were built and the city was cleaned. It had transformed so much that the Executive Chairman and the city received a cleaner-city award from the UN-Habitat. Finally, schools were built, hospitals repaired, and the general public was pleased with the change. Even tourists noticed the difference.



**Frederick Sumaye** was the Prime Minister of Tanzania from 1995 to 2005, making him the longest serving leader in the East African nation's history. He obtained a Diploma in Agricultural Engineering from Egerton College in Kenya and went on to head the rural energy department at Centre for Agricultural Mechanisation and Rural Technology (CARMATEC) in Arusha, Tanzania. From 1987–1995, he served as the Minister for Agriculture of Tanzania. The former Prime Minister received his master's degree from the John F. Kennedy School of Government at Harvard University in 2007.



## Results from Panel 1 Small Group Discussion

*Question 1: What are the ideas from the panel that resonate most in your small group?*

### **Accountability & Transparency are Key**



- Transparency and accountability go hand-in-hand
- Transparency of data is required for accountability
- Corruption is the biggest obstacle to development

### **CITIZEN PARTICIPATION is Vital to Making Transparency and Accountability Work**



- Social Audit is an important mechanism by which citizens can influence policy making
- Awareness of and engagement in participatory democracy is key
- Grassroots efforts must be supported



## **Results from Panel 1 Small Group Discussion**

*Question 1: What are the ideas from the panel that resonate most in your small group?*

**There is a Paradigm Shift:  
Providing Access to  
Information is a Critical  
Government Function...**

- Information is a tool for reform
- Presentation or structuring of information is at least as important as transparency itself
- It is essential to stimulate the demand for facts and that those facts be accurate

**...BUT Information by Itself  
is NOT Enough**

- Statistics are important but how do we measure intangible notions such as quality-of-life issues?
- Leadership is key & management of information is critical. Which data? How will we use the data? What's the purpose?
- Must be aware of information overload



## Results from Panel 1 Small Group Discussion

*Question 1: What are the ideas from the panel that resonate most in your small group?*

**Legal and Political Frameworks MUST be  
In-Place for Innovation to Succeed**



- Rule of law is a critical precursor to transparency and freedom of information
- Process of moving to a transparent society differs across countries, in terms of legislative processes, etc.
- Leadership and political will are required for transformation to succeed



## Results from Panel 1 Small Group Discussion

*Question 2: What other promising approaches in this area deserve attention?*

### Role of Leadership



- Cultivating and investing in leadership
- Courage and ability to “react” to results at political level
- Accountability for leadership (not just government)

### Role of Citizens



- Ease of access to and of supplying information
- Develop process that includes and encourages citizen participation
- Responsibility of citizens to know, organize, and act



## Results from Panel 1 Small Group Discussion

*Question 2: What other promising approaches in this area deserve attention?*

### Indicators, and Reporting Results



- Agreed upon community-, national-, and international-level indicators of success
- Tie results to budgetary formulation and execution (also transparent)

### Rewards & Incentives



- Reward actions (trying, piloting, inside government)
- Reward good reporting (failures *and* success)
- Performance outcomes and rewards; positive incentives environment



## Results from Panel 1 Small Group Discussion

*Question 2: What other promising approaches in this area deserve attention?*

### Facilitating Innovation

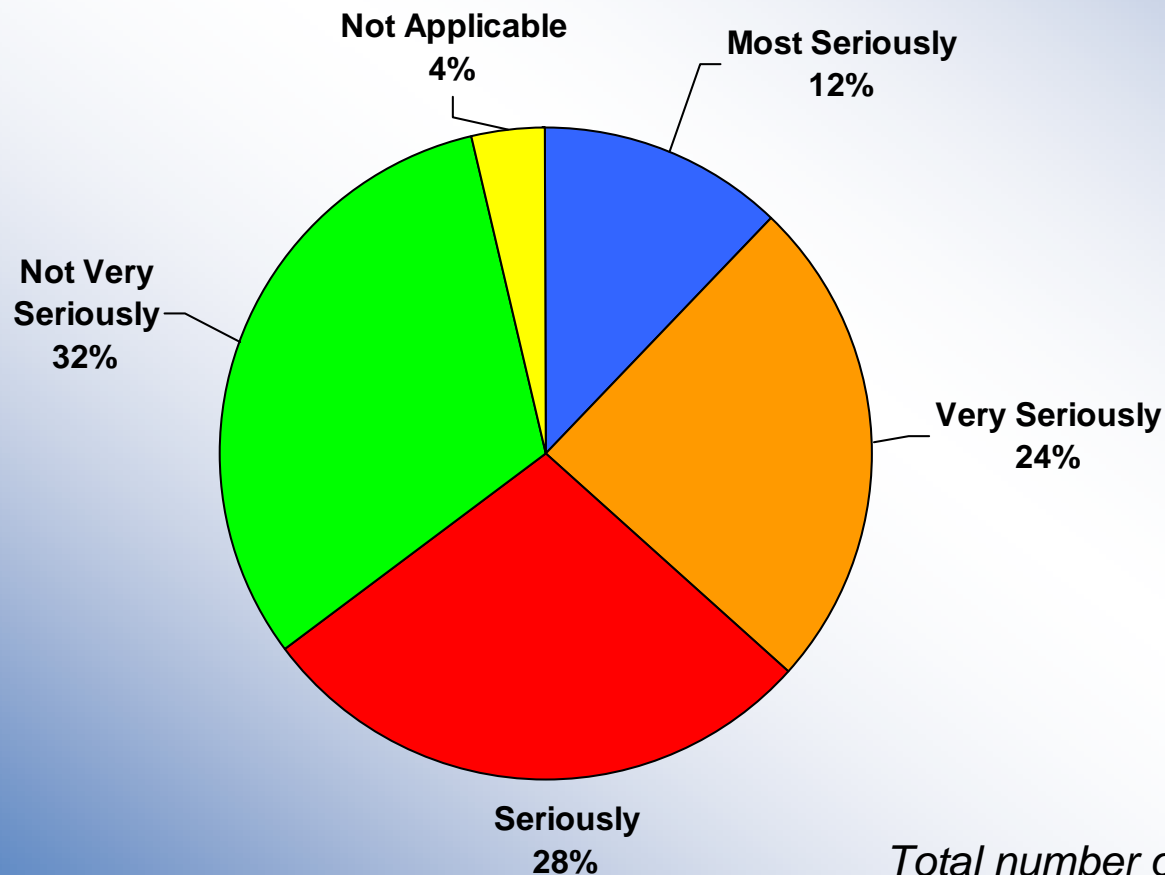


- Encourage reasonable risk-taking
- Balance transparency with the desire for innovation and creativity
- Allow for mistakes



## **Results from Panel 1 Small Group Discussion**

*Question 3: In your country, how seriously do governments take important anti-corruption initiatives?*



*Total number of responses: 243*



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## Innovations in Participation: Citizen Engagement in Deliberative Democracy

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### Setting the Context

Professor Archon Fung, Harvard Kennedy School  
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Since the 19th century, the dominant model of a just and effective state has been that of a representative government populated by professional politicians and civil servants. This is an ideal of government that is *by the people* in the sense that representatives must stand for popular election, and *for the people*, when as public servants, they devise and implement laws and policies that advance the public interest. However, it is not yet government *of the people* in the sense that in this image, the political role of most individuals, most of the time, is relegated to the occasional and minimal role of voting for representatives.

Several trends, however, have conspired to cause public sector and civil society innovators to rethink this division between government and citizens, and to find ways to thicken the engagement of citizens in reflecting upon public problems and policies, in making collective decisions, and in carrying out various kinds of public action.

The first of these trends is the growing social gap between citizens on one hand, and politicians, political parties, and government, on the other. Without speculating on the causes of this gap, its manifestations include declining citizen trust in government agencies, declining party membership in many countries, low rates of voting turnout in many countries, and the sense of powerlessness and alienation of citizens with respect to their “democratic” governments. A second trend is the evident incapacity of government, relying only upon its own resources and authority, to accomplish many public objectives such as elementary education, public safety, environmental stewardship, and economic development. Third, a large number of new initiatives, a few of them very well known, such as the Participatory Budgeting program of the Workers Party in Porto Alegre, Brazil. But, many more obscure initiatives have demonstrated the possibility and power of citizen engagement, participation, and even deliberation.

The potential of innovations that increase the quantity and depth of citizen participation hold out enormous promise to enhance and harness what some have called the “wisdom of the crowds.” When citizens engage in deliberation with one another, and with public officials, about thorny social problems and public priorities, they transform ill-



informed and sometimes contradictory gut reactions into better informed judgements (in the language of Daniel Yankelovich). In situations where the law and policy making process have been captured by some set of powerful interests, perhaps politicians themselves, organized citizens can demand accountability and justice. Where state capacities are insufficient to serve the public interest, the energies, resources, and ingenuity of citizens can augment and amplify.

However, efforts to enhance and deepen citizen participation face many perils. Nonprofessional, part-time citizens may be unable to grasp the complexities of many social problems. When government opens avenues of engagement, those who utilize these opportunities may be a select and unrepresentative group; those who are educated, highly interested, assertive, and members of dominant groups may be more inclined to participate than the least advantaged. When participation is associated with profitable stakes, citizens may assert their own narrow interests rather than taking broader and more other-regarding perspectives. Professional politicians and public managers frequently resist sharing power and authority in citizen participation initiatives.

This panel explores three particularly ambitious, and by many measures, successful innovations that engage citizens in the business of government. In one initiative, the US city of Minneapolis, Minnesota, devolved control of \$400 million over 20 years to neighborhood associations throughout the city. An initiative in Durban, South Africa, engaged informal sector vendors and workers in the redesign, revitalization, and management of a central city transit district. Finally, an effort from the United Kingdom sought to enlarge the opportunities for empowered citizen participation across a variety of government departments and community institutions.

**Archon Fung** is Professor of Public Policy at the Harvard Kennedy School. His research examines the impacts of civic participation, public deliberation, and transparency upon public and private governance. His book, *Empowered Participation: Reinventing Urban Democracy*, examines two participatory-democratic reform efforts in low-income Chicago, Illinois, neighborhoods. Current projects also examine initiatives in ecosystem management, toxics reduction, endangered species protection, local governance, and international labor standards. Dr. Fung's recent books and edited collections include *Deepening Democracy: Institutional Innovations in Empowered Participatory Governance*; *Can We Put an End to Sweatshops?*; *Working Capital: The Power of Labor's Pensions*; and, *Beyond Backyard Environmentalism*. His articles on regulation, rights, and participation appear in *Political Theory*; *Journal of Political Philosophy*; *Politics and Society*; *Governance*; *Environmental Management*; *American Behavioral Scientist*; and, the *Boston Review*. Dr. Fung received two bachelor's degrees in Science and a doctorate from the Massachusetts Institute of Technology.



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Citizen Engagement in Deliberative Democracy  
**Incorporating the Informal Sector into Urban Planning**

Richard Dobson  
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**What was the problem?**

The context was a blighted South African inner city district, Warwick Junction, Durban. Apartheid and its legacy had left the area and commuting citizens without a quality and responsive urban environment. Urban management had not been prioritized, resulting in an underserved and decaying municipal infrastructure. Warwick Junction was at the heart of the metropolitan rail, taxi, and bus transport systems, with more than 450,000 commuters, and was an ideal location for informal street vendors whose businesses thrived on the high numbers of pedestrians.

**What was the innovation?**

The innovation, the Warwick Junction Urban Renewal Project, could best be described as “the communalization of the project” that used four process approaches.

1. Collective learning: the Project was based on the premise that the informal economy is an economic asset. Its goal was to create an urban infrastructure that supported this economy. In reality, neither the beneficiary community nor the project team had experience in this activity. As a result, all parties became very dependent on one another for research and design. This approach was a complete turnaround from the apartheid logic.
2. Consultation: the Project transcended culture, gender, language, and urban illiteracy to create a viable strategy for consultation that matured into a connectedness that secured the transfer of information and understanding to all partners.
3. A Developmental Attitude: it became apparent to local government that it had to respond in a new way to muster the full extent of resources—human and material—necessary for the project. The core project team included local government officials, supplemented with dedicated project leadership. This “task force” located itself in the district so it was accessible to colleagues and the community. The local government showed its support for the Project by using its public spaces, and providing sidewalk infrastructure, to accommodate the informal street vendors. The beneficiary community responded to the recognition of its preferences with participation and assimilation of the urbanized future.



4. Participative Implementation: since Warwick Junction is a working market and public transport node, the community had to be sympathetic to disruptions caused by infrastructure upgrading and implementation. As a result, parties had to agree on implementation phases.

**What were the obstacles?**

The Junction had suffered from years of neglect and stoic attempts by the street vendors to establish themselves. In addition, congestion, and a lack of urban literacy limited the community's ability to assimilate what they were experiencing. Equally, the project team had no appropriate national (or international) precedent to inform its intervention. They were unable to find models for informal street vending at this scale in an inner city location.

**What were the results?**

The project was successfully implemented. It is growing and providing new forms of entrepreneurship and income generating activities. The project has facilitated livelihoods for approximately 5,000 inner city vendors and their service providers, and the expectation of meaningful community participation has been entrenched. Work has begun to redress the cultural, social, and economic exclusion and an exciting inner city district and a unique urban experience has emerged. There is currently the promise of tourism; potential that could release its own phase of second generation energy. Finally, the Project is being replicated in other South African cities.

**Richard Dobson** qualified as an architect from the University of Kwa Zulu Natal in 1978. He immediately established his own private practice, working almost exclusively in the then Black townships surrounding Durban, South Africa. In 1981, he joined a long-established Kwa Zulu Natal firm, and the resultant four-person partnership continued for 15 years. During this time, the practice undertook a wide range of commissions, but was noted for its residential, commercial, and historic restoration work for which it received various local and national awards. Mr. Dobson's particular interest in low-energy construction included a patent and a national design award for a residential walling system utilizing stabilized earth. This went into limited commercial production. In 1996, upon the dissolution of the partnership, he joined the eThekweni Municipality in Durban as a contract consultant and commenced implementing the capital infrastructure within the Warwick Junction Urban Renewal Project. This involvement progressively resulted in his leadership of the project from 2001, and eventually its successor—the Inner City Thekweni Regeneration and Urban Management Program—whose mandate specifically emphasizes the needs and opportunities of the inner city. In December 2006, Mr. Dobson resigned from the program and the municipality in order to return to private practice to found an NGO called Asiye Etafuleni.



Asiye Etafuleni means “bring it to the table” in Zulu, but figuratively, it means “let us negotiate.” The organization offers technical support to the informal economy, and will focus on street vendors and endemic urban poverty. He has also commenced with collaborating on a book documenting the 10 years of development in the Warwick Junction Urban Renewal Project.

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Citizen Engagement in Deliberative Democracy

**Revitalizing Urban Cities through Resident Empowerment: The Minneapolis Neighborhood Revitalization Program (NRP)**

Robert D. Miller  
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**What was the problem?**

In the mid-1980s, the city of Minneapolis was experiencing many of the problems that had threatened the stability of cities throughout the United States: flight of the middle class, deterioration of the housing stock, lack of investment in residential neighborhoods, declining numbers of local businesses, loss of living wage jobs, reduced investment in public infrastructure, increasing levels of crime and poverty, and the growing dissatisfaction of residents. In 1987, with signs of neighborhood decline in Minneapolis becoming increasingly apparent, a Task Force was formed, which found that physical revitalization of Minneapolis neighborhoods was badly needed and would cost over \$3 billion. In May 1989, an Implementation Committee proposed a revitalization program that would “protect” fundamentally sound neighborhoods, “revitalize” those showing signs of decline, and “redirect” those with extensive problems.

**What was the innovation?**

In 1990, the Minnesota legislature passed legislation that gave the state’s largest cities the authority to establish neighborhood revitalization programs, and allowed Minneapolis to use up to \$20 million of its Tax Increment Financing proceeds, annually thru 2009, to fund improvements to neighborhoods. These programs would be based on plans developed by neighborhood residents.

The Minneapolis Neighborhood Revitalization Program (NRP) was established to make the residential neighborhoods of the city better places to live, work, learn, and play. NRP shifts the traditional improvement paradigm from a reliance on professional planners and government bureaucrats to one that focuses on engaging and empowering residents. It



acknowledges that people with the greatest proximity to an issue, problem, or opportunity, and an interest in accomplishing change are the ones who may be most motivated and able to make real change happen. Neighborhood-based priority setting, planning, and implementation are the core of the program. In NRP, residents and other neighborhood stakeholders create Neighborhood Action Plans (NAPs) that describe the neighborhood they want in the future, and the goals, objectives, and specific strategies that will help them accomplish their vision. NRP completes the empowerment process by providing funding to each neighborhood to help them implement their approved NAP.

#### **What were the obstacles?**

The obstacles were many and formidable. These obstacles included: training residents to conduct inclusive planning processes; developing standards for recognition and operation of neighborhood organizations; mentoring neighborhood leaders; developing relationships between neighborhoods, and between neighborhoods and their local governments; sporadic and inconsistent cooperation from city departments; improving the understanding of residents about government and its various processes; creating a template for neighborhood action plans; ensuring financial accountability and developing processes for transferring funds; creating contracts; and, the host of minor and major roadblocks associated with creating a program while it is being implemented. One of the most significant, but initially unexpected, obstacles was a major reduction in the revenue stream that occurred when the program reached its 10th anniversary (the halfway point of its expected life).

#### **4. What were the results?**

The results were much more significant than originally expected. The program generated the participation of every neighborhood in the city, an increase in the number of neighborhood groups from an initial 42 to 72. Neighborhood groups were recognized as part of the civic infrastructure. Investment of over \$280 million of public NRP funds leveraged over \$1 billion of additional public and private investment in everything from home improvements, to construction of affordable housing, to services for young people and seniors. More than 1,000 residents became involved in the boards of neighborhood groups. Residents learned new skills. Multijurisdictional public improvements were coordinated. The program created a general sense of identity and connection to place for residents.

**Robert D. Miller** has been Director of the Minneapolis Neighborhood Revitalization Program (NRP) since 1992. Before joining the NRP, he was director of the Community and Resource Exchange Program and had served for 14 years as a Planning Supervisor and Senior Management Analyst for Hennepin County. Before serving with Hennepin County, Mr. Miller had been a Personnel Manager and Special Assistant with the Veterans



Administration. He was a member of the Urban Consortium Energy Task Force for 12 years and has served on state, county and city task forces, and special committees and study commissions in a wide variety of topical areas. He was also the owner of a successful restaurant in Minneapolis. In addition to these activities, Mr. Miller served on the Board of Directors and was elected president of a community association in Virginia, helped found a neighborhood association in Minneapolis, chaired a Parent-Teacher Association, and has recruited and mentored an uncounted number of people for community service.

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Citizen Engagement in Deliberative Democracy  
***Together We Can Tackle the Power Gap***

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**What was the problem?**

Despite record investment in public services from 1997 to 2001, and the achievement of priority targets, the British government found that most people believed they had little power over state decisions which affected their daily lives. Even though there were clear improvements on headline measures such as reduction in crime figures, more provisions for childcare, increased number of hospital treatments, and more unemployed helped to find jobs, there was growing doubt as to whether the government was acting on what citizens were truly concerned about. Consequently, the public was all too often unconvinced that their needs were being met. From 2001 to 2003, the proportion of people who felt they could influence decisions affecting their concerns fell from 43% to 38%. It reflected the broader trend of a rising number of people saying that they did not vote, or participate in public affairs, because ultimately they had no real power over government institutions.

**What was the innovation?**

In 2003, the Secretary of State for Home Affairs asked for a new government unit to be set up to tackle the problem of the power gap between state and citizens in England. As the head of this unit, I devised the “Together We Can” campaign—a culture change program which brought local and central state bodies across the country together to work with community sector partners in order to demonstrate how citizens could be empowered to work with government to set and achieve common goals. Never before had a national government taken a strategic approach to encourage its officials and the wider public to collaborate in decision making in all domestic public policies. The campaign had three key components:



1. Skills for Active Citizenship: supporting the development of people's motivation, skills, and confidence to speak up for their communities and say what improvements are needed. The Take Part Network to promote citizenship learning and the Together We Can online resource are examples.
2. Strengthening Communities: increasing the capacity of community groups to bring together citizens to deliberate and articulate shared concerns. Guide Neighbourhoods, Community Justice Centres, and New Deal for Communities are examples.
3. Partnership with Public Bodies: steering and advising public bodies to work effectively in partnership with local people in assessing needs, considering options for action, determining priorities, and sharing information on results. Examples of such cross-government initiatives include the Together We Can Action Plan, Civic Pioneer local authorities, Neighbourhood Policing, and the Healthy Communities Collaborative.

#### **What were the obstacles?**

There were broadly four obstacles we had to overcome:

1. The political commitment from our own Ministers was not fully shared by other senior politicians or their officials, many of whom regarded the empowerment of citizens as a marginal issue and did not seriously address it in their policy development. We tackled this by supplying our own Ministers with case studies of improvements to bring their Cabinet colleagues on their side, and presenting key decision makers with evidence on how trust and satisfaction with their services go up as a result of empowerment initiatives.
2. There was virtually no coordination across central and local government, or within either, leading to many missed opportunities for shared learning and collaboration. We tackled this by establishing a national forum for public officials to learn, plan, and support empowerment initiatives.
3. Many confused our work with promoting volunteerism, and diverted attention and resources away from the focus of power redistribution. We tackled this by openly and relentlessly pointing out the distinct focus on power in our work, and insisting on measuring success without reference to volunteering.
4. The public, itself, was skeptical. Moreover, superficial consultation exercises often contributed to discrediting the process of civic engagement. We tackled this by setting higher standards, promoting good practice, and ensuring effective feedback to citizens is built into empowerment work.

#### **What were the results?**

We had planned to build up the foundational phase of the culture change program by 2006 so that we could push for the incremental adoption of empowerment practices over the next



three years before 2009. The impact of “Together We Can” itself, along with favorable political changes, have considerably accelerated the process of delivering results from our work. These are notable in the following areas:

- By 2006, the Prime Minister and all the Secretaries of State with domestic policy responsibilities had signed up to champion the progress made nationally, and commit to further reforms.
- In 2006, the Local Government White Paper, “Strong & Prosperous Communities,” was published and contributed significantly to strengthen empowerment, particularly with a new statutory Duty to Involve.
- In 2007, a program to accelerate the adoption of empowering practices such as participatory budgeting, community assets management, and devolved decision making, commenced.
- By 2007, the decline in the proportion of citizens who feel they can influence decisions affecting their areas had been stopped.
- In 2008, the Government adopted a formal Public Service Agreement target to empower more people to have influence over public decisions.
- Later in 2008, we will see a cross-government White Paper on community empowerment to set out further reforms.

**Dr. Henry Tam** is the Deputy Director in charge of Community Empowerment Delivery at the Department for Communities & Local Government, Great Britain. He was previously Head of Civil Renewal at the Home Office where he devised the cross-government Together We Can action plan. He was responsible for setting up the Home Office’s Standards Unit for Correctional Services, covering prisons, probation, and youth justice. From 2000–2002 he was the Home Office’s Director for Community Safety & Regeneration in the East of England, responsible for developing a unified approach in implementing Government policies on neighborhood renewal and community safety in the region. Prior to joining the Home Office, Dr. Tam was the Deputy Chief Executive at St. Edmundsbury Borough Council where his duties included corporate management and community development. He directed the Borough’s successful bid for Beacon Council status. His work on democratic engagement with young people won a Best Practice Award from the Prime Minister in 1999. Dr. Tam studied Philosophy, Politics & Economics at the University of Oxford and has a doctorate in Social Philosophy from the University of Hong Kong. He is Visiting Professor at the Faculty of Lifelong Learning, Birkbeck, London University; and, a Fellow of the Globus Institute for Globalization and Sustainable Development, University of Tilburg, the Netherlands.



## Results from Panel 2 Small Group Discussion

*Question 1: What are the ideas from the panel that resonate most in your small group?*

### Citizen Participation is Key



- Participation is the way to “solve” the problem of public apathy
- Engage the community at the earliest stage possible
- Decentralization is CRITICAL:
  - Empower neighborhoods in solving their own challenges
  - “Centralized budgets” is a challenge that must be overcome to achieve participation
  - Communities need to have the ability to set priorities

### Education is Required



- Capacity building is very important to achieving community participation
- Government needs to help citizens develop new skill sets
- Citizens need to feel ownership over important local level issues
- Citizens must see a benefit to engaging in order to overcome apathy



## **Results from Panel 2 Small Group Discussion**

*Question 1: What are the ideas from the panel that resonate most in your small group?*

### **Leadership is Crucial**



- Federal level leadership AND leadership that represents the community in question is key
- Leaders need to be willing to listen to their citizenry
- Leaders need to encourage citizen involvement in problem-solving

### **Public Private Partnerships Play an Important Role**



- NGOs enable stronger collaborations
- PPPs produce participation and lead to empowerment



## Results from Panel 2 Small Group Discussion

*Question 2: What other promising approaches in this area deserve attention?*

### Leverage existing institutions



- Leaders “moving toward” the people, where and when they meet
- Don’t impose constructs
- Use formal institutions (religious or otherwise) and informal institutions

### Engagement across jurisdictions



- Engagement with different agencies, and at local, regional, national, and (int’l)
- Coordination between government levels on matters of engagement
- Local issues easiest to engage



## **Results from Panel 2 Small Group Discussion**

*Question 2: What other promising approaches in this area deserve attention?*

### **Civic education (young and old)**



- Incorporate opportunities for engagement in public educ.
- Youth engagement strategies
- Begin with achievable project to build confidence
- Successful communities “evangelizing” others

### **Engaging the poor**



- Use the “informal sector” to build effective organizations with roots in the community
- All points of view must be represented
- Assist people to participate, e.g., provide child care, transportation money, etc.



## **Results from Panel 2 Small Group Discussion**

*Question 2: What other promising approaches in this area deserve attention?*

### **Pitfalls of Engagement**



- Engagement becoming demagogic and manipulated
- Policy makers imposing their perspective on citizens
- One group “hijacking” process
- Ensuring all points of view included in pluralistic society

### **Role of Technology**

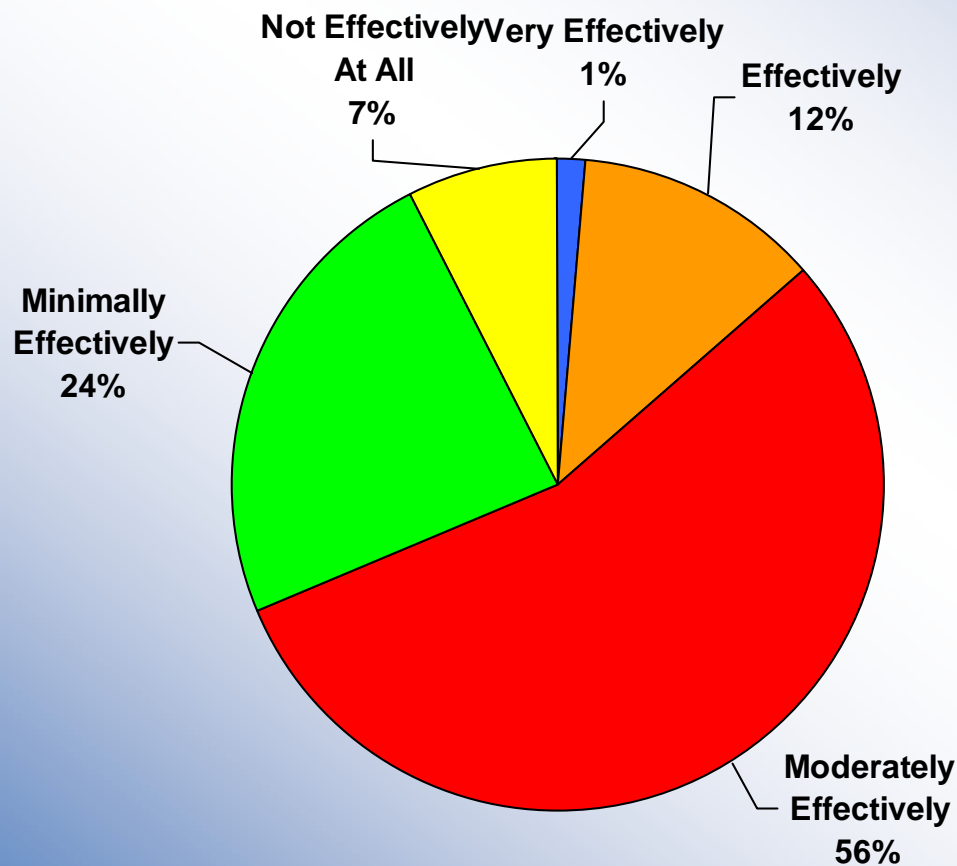


- Virtual community – role-play and experimenting with negotiation for planning (e.g. Second Life)
- New technology to promote participation
- Open-source policy development – use web collaborative technology to engage citizens in policy development



## Results from Panel 2 Small Group Discussion

*Question 3: How effectively do your country's local governments currently engage citizens?*



*Total number of responses: 147*



## **Results from Panel 2 Small Group Discussion**

### **Comments and Observations**



- It was difficult for those at our table--from areas of high poverty--to relate to this discussion
  - There are key differences in citizen engagement between developing and developed world (North and South)
- All 3 panel examples were "top-down" approaches, citizen engagement was driven by the government and not citizens
- A discussion of practical methods to engage the citizenry would have been appreciated:
  - All 3 panel examples succeeded in mobilizing a section of the population not usually reached. The question is: how did the innovators manage that? What methods did they employ?
  - What were the structures, tools, and methods used to educate and engage?



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## **Institutional Innovations in Global Health: New Approaches to Neglected Diseases**

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### **Setting the Context**

Professor William C. Clark, Harvard Kennedy School  
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Our current research and development system has worked successfully to generate innovation and treatments for diseases that affect large numbers of people in industrialized countries, such as heart disease, stroke, diabetes or cancer. Public and private actors in basic and applied research cooperate to generate scientific breakthroughs leading to new treatment candidates that can eventually be turned into drugs for a large variety of illnesses. Patients have access to these interventions through the health systems in their respective countries.

However, the system has failed to generate the necessary level of innovation in the treatment of diseases that either affect primarily the poor in developing countries, such as malaria and tuberculosis (commonly referred to as “neglected diseases”), or that affect very few people, such as Lou Gehrig’s disease (an “orphan disease”). In each case, the dearth of lucrative markets has led to inadequate investment in development with respect to both basic and applied research.

In a nutshell, understanding of these diseases is either insufficient, or, where it has been achieved, it has not translated into tangible benefits for patients suffering from these illnesses. As a consequence, millions die every year.

In the past decade, a number of new approaches have emerged to overcome the challenges of neglected and orphan diseases. The novelty of these approaches lies in their models of cooperation, their work practice, and the incentives they create for actors in the public and private domains.

Three innovators will be present at this panel. The first two, Global Alliance for TB Drug Development (TB Alliance) and the Drugs for Neglected Diseases Initiative (DNDi), share missions to develop treatments for tuberculosis, malaria and other neglected diseases. These organizations rely on new forms of cooperation between public and private partners to identify and test promising drug candidates for the neglected diseases they target. Both organizations have already successfully brought new drugs to the market and are considered to be highly promising examples of the public-private partnership model in global health.

In contrast, Prize4Life pioneers another model that has been receiving increasing



attention in the biomedical domain: that of the inducement prize. Prize4Life targets an orphan disease of unknown cause, ALS (Lou Gehrig's disease). The organization's primary purpose is to induce scientific breakthroughs that could eventually lead to a treatment or cure for this devastating disease. Its strategy is to offer large prizes for defined scientific contributions to ALS research. Prize4Life's experience will have lessons for other health problems across the global health domain.

In this panel, we will examine how these innovators cover a range of basic research and discovery, and development and access to innovations in their respective domains. Among other topics, we will discuss how these approaches differ from earlier approaches to the problems they target, what larger institutional landscape these actors need in order to succeed, how policy makers can help ensure their success, and how these innovators can make sure that the fruits of their labors will actually become available to patients who need them.

**William C. Clark** is the Harvey Brooks Professor of International Science, Public Policy, and Human Development at the Harvard Kennedy School. Trained as an ecologist, his research focuses on the interactions of environment, development, and security concerns in international affairs. Clark is coauthor of *Adaptive Environmental Assessment and Management*, and coeditor of *Sustainable Development of the Biosphere; The Earth as Transformed by Human Action; Learning to Manage Global Environmental Risks*; and, *Global Environmental Assessments: Information and Influence*. Dr. Clark is a member of the U.S. National Academy of Sciences and co-chaired the National Research Council study on *Our Common Journey: A Transition toward Sustainability*. He chairs the environmental reporting program of the Heinz Center for Science, Economics, and the Environment, which produces a periodic report on *The State of the Nations Ecosystems*. Dr. Clark is a recipient of the MacArthur Prize, the Humboldt Prize, and the Harvard Kennedy School's Carballo Award for Excellence in Teaching.



New Approaches to Neglected Diseases

### **Global Alliance for TB Drug Development (TB Alliance): A Public-Private Partnership to Develop Accessible and Faster-Acting TB Medicines**

Maria C. Freire

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#### **What was the problem?**

Treatment for tuberculosis (TB) takes six to nine months to complete and requires that health-care workers directly observe patients taking their complicated four-drug regime. Because the treatment process is long and cumbersome, multidrug-resistant (MDR) and extensively drug-resistant (XDR) forms of tuberculosis are on the rise worldwide. Despite the clear need for faster and simpler TB treatments, there had been no drug development efforts for decades. Given the very high cost of developing new drugs, and the fact that TB overwhelmingly affects impoverished communities throughout the developing world, there was no incentive for the private sector to embark in TB drug development. The result was a barren pipeline and a world with no new antibiotics to fight the devastating epidemic.

#### **What was the innovation?**

In 2000, a group of scientists and physicians representing the public and private sectors from around the world, gathered in South Africa and signed the Cape Town Declaration creating the Global Alliance for TB Drug Development (TB Alliance). With seed money from the Rockefeller and the Bill and Melinda Gates Foundations, the TB Alliance, a not-for-profit corporation, set forth a new business model. Its aim was to produce a new, shorter, and more effective treatment for TB. Length of treatment must be two months or less and be available at an affordable price. The Alliance also committed to make the drugs accessible to those that needed them and to promote their adoption the field. By 2007, the TB Alliance had attracted over \$200M in funding from governments and foundations. Using a virtual research platform, with a small staff and low overhead, the TB Alliance identified potential new TB drug candidates from private and public sources, in-licensed them, and developed or co-developed the drug candidates with partners worldwide. Because part of its mandate was to encourage others to embark upon TB drug development, the TB Alliance also invested in platform technologies and basic studies that were broadly disseminated, and served to inform the field.



**What were the obstacles?**

The obstacles were many and diverse. An early obstacle was overcoming skepticism from all sectors—industry, government, academia, national TB programs, funders, et cetera. There were technical obstacles, such as finding new chemical entities to test because many of the private-sector players had left the infectious disease arena, and much of the data on potential compounds was no longer accessible or available. As the organization grew and the compounds advanced through the drug development pipeline, new challenges arose, including finding appropriate clinical sites, understanding the regulatory hurdles for each country and mapping the value proposition for the best drug combinations, among others. Last, but not least, the difficulty facing all innovative organization models is long-term sustainability. While the TB Alliance is relatively inexpensive for a drug development enterprise, the costs are still high.

**What were the results?**

The TB Alliance now has the largest TB drug pipeline in history, with two potential drug candidates already in clinical trials. This provides hope for millions of people with TB around the world. Further, the TB Alliance has proven that this new business paradigm can work. Now called the PDP (Product-Development-Partnership) model, it allows for brisk development of drugs for which there is no market pull, using the highest level of regulatory and safety standards. The PDP model also required trailblazing agreements with collaborators worldwide, some of which have won awards for their innovative approaches. These agreements have identified ways in which the public and private sectors can work together in fighting disease in the developing world. Finally, the existence of the TB Alliance catalyzed change in the TB landscape, bringing new corporate, academic and government players into the field so that a new TB drug development strategic plan was adopted and incorporated as part of the Global Plan to Stop TB, launched in Davos, Switzerland, in 2006.

Dr. Maria C. Freire is President of The Albert and Mary Lasker Foundation. Prior to her appointment at the Lasker Foundation, Dr. Freire was the Chief Executive Officer and President of the Global Alliance for TB Drug Development. An internationally recognized expert in technology commercialization, Dr. Freire directed the Office of Technology Transfer at the US National Institutes of Health (NIH) from 1995 to 2001. Before her position at the NIH, Dr. Freire established and headed the Office of Technology Development at the University of Maryland at Baltimore and the University of Maryland, Baltimore County. Dr. Freire trained at the Universidad Peruana Cayetano Heredia in Lima, Peru. She received a doctorate in Biophysics from the University of Virginia and completed post-graduate work in immunology and virology at the University of Virginia and the University of Tennessee, respectively. She is the recipient of a Fulbright Fellowship as well as two US Congressional



Science Fellowships. Dr. Freire has been active on a number of national and international boards and committees. She is the recipient of numerous awards, including the US Department of Health and Human Services Secretary's Award for Distinguished Service, the 1999 Arthur S. Flemming Award, and the 2002 Bayh-Dole Award.



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New Approaches to Neglected Diseases

**Building Partnerships to Ensure Needs-Driven Research and Development**

Bennett M. Shapiro, M.D.

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**What was the problem?**

Despite phenomenal changes in medicine over the past half-century, drug discovery for diseases affecting poor populations in the developing world remains a neglected and stagnant field. Parasitic diseases such as malaria, Chagas disease, and African sleeping sickness (human African trypanosomiasis) cause many deaths each year, and yet, because of a combination of market and public policy failures, no clinically useful and effective drugs have emerged to treat them. Of the 1,556 new drugs approved between 1975 and 2004, only 21 (1.3%) were specifically developed for tropical diseases and tuberculosis, even though these diseases account for 11.4% of the global disease burden. Furthermore, existing therapies are often toxic, expensive, and administered for long periods by injection, characteristics that are inappropriate for the environments in which they are used. For example, African sleeping sickness, a fatal disease if not treated, threatens more than 50 million people in 36 countries but has limited treatment options using toxic, antiquated drugs. Chagas disease, which affects 18 million, and puts 100 million at risk in Central and South America, has no effective therapy to prevent chronic and debilitating cardiac sequelae that result in up to 30% of those infected.

**What was the innovation?**

In 2003, the frustrations of treating sick people with inadequate therapies drove innovators from seven organizations around the world to establish the Drugs for Neglected Diseases initiative (DNDi). The DNDi was formed by Brazil's Oswaldo Cruz Foundation, the Indian Council for Medical Research, the Kenya Medical Research Institute, the Ministry of Health of Malaysia, France's Pasteur Institute, Médecins sans Frontières (Doctors without Borders), and the UNDP/World Bank/World Health Organization's Special Program for Research and Training in Tropical Diseases. DNDi began with the understanding that a great deal of academic research had emerged about the parasites that cause these diseases, research that could be coupled with techniques of modern drug discovery to develop accessible treatments for neglected diseases.

DNDi neither maintains research facilities, nor conducts research to develop its treatments; rather, it acts as a virtual pharmaceutical company whereby DNDi personnel with



a range of experience in different aspects of drug discovery manage the outsourcing of research and development. To gather information on local patient needs, capacity, and expertise, DNDi depends on its regional networks of scientists and clinicians actively involved in drug research for neglected diseases in Asia, Africa, and Latin America. The strong clinical presence of Médecins sans Frontières throughout the world enables DNDi to perform trials and distribute new clinical entities in many of these regions. The initiative has also reached agreements with several large pharmaceutical and biotech companies to gain access to research and to benefit from in-kind contributions from these corporations on specific projects. Its virtual organization model limits costs while maximizing flexibility.

In addition to supporting existing capacity in countries where neglected diseases are endemic, DNDi works with its partners to build additional capacity in a sustainable manner through technology transfer for drug research and development. This includes access to chemical diversity, pharmaceutical and clinical development, and working closely with national control programs through, for example, the Leishmaniasis East Africa Platform (LEAP) and Human African Trypanosomiasis (HAT) platforms in Africa.

#### **What were the obstacles?**

It is critical to focus efforts on defined, specific disease categories, to identify the optimal balance between research, development, and access to therapies, and to raise the funds needed to make such an effort successful. One organizational challenge for such initiatives is to maintain a pipeline of drugs in different stages of development so that good therapies can emerge relatively quickly, while the search for optimal drug treatments continues. Equally important is the selection of appropriate partners for all stages of the drug discovery process. There are a growing number of players in the field of neglected diseases and different organizations must learn to communicate sufficiently to encourage innovators with different approaches to avoid competition or excessive overlap. Sustainability of such efforts is the biggest concern, as current attention afforded to global health may soon turn to other issues. Public leadership is needed to create policy change that will support funding for, adoption of, and equitable access to, essential health tools.

#### **What were the results?**

To give an example of DNDi's achievements, while building DNDi's structure, innovators identified an immediate clinical problem: drug resistance in malaria is an emerging issue worldwide, resulting in a complex treatment regimen of several drugs to reduce the possibility of resistance. To insure that such drugs were taken together, DNDi produced two fixed-dose drug combinations as an initial project to utilize the skills of the DNDi team for an urgent public health need. In addition to the convenience of these anti-malarials (1 to 2 tablets per day over a three-day treatment course), they are also the first such combination therapy to



be available in both adult and pediatric doses. DNDi's industrial partner, Sanofi-aventis, has distributed over 1 million treatments of ASAQ (a combination of artesunate and amodiaquine), and the treatment is now registered in 21 African countries. ASMQ, a fixed-dose combination of artesunate and mefloquine has completed phase 3 clinical trials and has been used in an intervention study of over 15,000 patients in Brazil.

As of late 2007, DNDi has a full pipeline, with drug candidates at all stages of development. There are 18 programs in the initiative's portfolio: six clinical, three preclinical, and nine discovery projects. The insights DNDi has gleaned from developing and delivering ASAQ to Africa will prove invaluable as DNDi moves forward in its goal, not only to deliver new treatments for the most neglected, but also to build a robust portfolio that will produce truly innovative drugs.

**Bennett Shapiro, M.D.** is currently the Chair of the DNDi (Drugs for Neglected Diseases initiative) North America Board of Directors. Most recently, he was Executive Vice President of Worldwide Licensing and External Research for Merck. Dr. Shapiro joined Merck Research Laboratories in September 1990 as Executive Vice President of Basic Research, Merck Research Laboratories. In this position, he was responsible for all the basic and preclinical research activities at Merck worldwide. Previously, he was Professor and Chairman of the Department of Biochemistry at the University of Washington. Dr. Shapiro has served on many advisory boards and is currently a member of the board of Momenta and Elixir, among other venture-backed companies.

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New Approaches to Neglected Diseases

**Prize4Life: A Nonprofit Search for a Cure for ALS (Lou Gehrig's Disease)**

Nicole Szlezák, M.D.

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**What was the problem?**

ALS (amyotrophic lateral sclerosis, also known as Lou Gehrig's disease) is a fatal neurodegenerative illness that kills patients within an average of three to five years. Patients become progressively paralyzed until vital functions like breathing can no longer be sustained. Its causes are little understood, and there is no cure. Each year, about five to six thousand Americans are diagnosed with ALS. At any given time, there are relatively few people suffering from ALS because it is so aggressive and progresses rapidly. Because the



disease is relatively rare and the causes unknown, it has attracted fewer research dollars than other diseases. ALS is considered an “orphan disease.”

Currently, the only ALS drug on the market prolongs life by an average of a mere two to three months. Systematic large-scale drug development efforts are urgently needed, and many pharmaceutical companies would like to enter the market for ALS treatment, estimated to be worth at least a billion dollars. However, the difficulty of conducting large-scale drug testing on ALS makes clinical trials lengthy and very expensive, discouraging most companies from undertaking further research.

#### **What was the innovation?**

Prize4Life was founded by an ALS patient with a mission to accelerate the search for a cure for ALS. Innovators at Prize4Life offer large financial prizes for defined breakthroughs in ALS research. Unlike awards like the Nobel Prize, which honor past scientific achievements, inducement prizes offer money for breakthroughs that are urgently needed but have not yet happened. By offering prizes in ALS research, Prize4Life wants to attract new minds, new attention, and new money to ALS research.

In November 2006, Prize4Life launched its first prize of \$1 million for an ALS biomarker; a measure that would allow clinical researchers to track the progression of the disease. Such a biomarker would dramatically reduce the cost of ALS clinical trials and therefore make it easier for clinical investigators to test potential ALS drugs. It would also remove an important obstacle that is currently keeping pharmaceutical companies from entering the ALS field.

#### **What were the obstacles?**

Biomedical innovation is a highly complex arena. Breakthroughs almost always depend on the interaction of a variety of players in the research domain. Prize4Life is introducing a results-based model that in many ways turns the traditional research model on its head, and yet it is also interdependent and complementary to existing efforts in ALS research. Among the many challenges that this poses, four stand out. First, clinically oriented biomedical research is very expensive. While the inducement prize does offer a cash reward, individual researchers, or wealthy foundations must still be inspired to invest their own money to undertake their research. Second, many researchers are often more familiar with the upfront funding mechanisms of grants and may first react with skepticism to the idea of inducement prizes. This requires a great amount of communication and outreach work. Third, Prize4Life needs to strike the right balance between competitive and cooperative aspects of the prize model. On one hand, prizes introduce an element of competition and acceleration into the domain in which they operate. On the other hand, they can also lead to the initiation of new collaborations among researchers inside and outside the ALS field.



A final challenge is the general dearth of information and resources in the ALS research field. This hampers researchers' efforts in multiple ways. Prize4Life is currently initiating several projects to improve access to information and infrastructure for the ALS research community. These include a platform for the exchange of research-related information and a database for collecting and pooling patient data.

**What were the results?**

In the one year since its inception, Prize4Life has already been able to attract new minds and money to the field of ALS. In May 2007, Prize4Life awarded a series of small prizes (\$15,000 each) to a number of new and promising approaches to finding an ALS biomarker. Several of these originated outside the immediate ALS field and have led to new interdisciplinary collaborations. The results of the first prize competition will be available in November 2008, when the deadline for the ALS Biomarker Prize arrives. Prize4Life plans to launch two more prizes in 2008.

**Nicole Szlezák** is a Doctoral Fellow in the Sustainability Science Program at Harvard University's Center for International Development and a doctoral candidate in the Public Policy Program at the Harvard Kennedy School. Her dissertation investigates the role of the Global Fund to Fight AIDS, Tuberculosis, and Malaria and recent changes in China's AIDS policy. She is also interested in institutional arrangements to foster drug development and delivery for diseases that receive little attention in terms of research and development. Together with William Clark, Dr. Szlezák leads the Institutional Innovations for Linking Knowledge with Action in Global Health Project, which studies institutions cooperating in the arena of global health, with a particular focus on lessons from the field of malaria prevention and control. Prior to coming to Harvard, Dr. Szlezák was a clinical researcher at the Institute of Tropical Medicine in Tübingen, Germany, and at the Albert Schweitzer Hospital in Gabon, where her work focused on malaria and schistosomiasis. Dr. Szlezák holds a medical degree from Humboldt University in Berlin, and a Doctor of Medicine degree from the University of Tübingen, Germany. She is also a graduate of the Master in Public Administration Program at the Harvard Kennedy School.



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## **Roundtable: Government Innovation and Social Justice**

Peter Spink  
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There are few places in the world where everybody starts from a level playing field. On the contrary, concerns with social, economic, racial, ethnic, and gender inequalities, amongst others, are a constant theme and a constant challenge. For most of the second half of the twentieth century, it was felt that greater economic development and better government services would in time lead to a reduction in inequalities. Unfortunately, as report after report has pointed out, that has not proved to be the case. Increasingly, governments are being asked to “put people first.” The focus is on services in terms of their contribution to the construction of citizenship, and the guarantees of individual and collective rights. Social justice has become a transversal theme, a question to be asked of all areas of public policy provision. In this panel, members of the Liaison Group for Innovations in Governance and Public Action will take a critical look at the progress being made.

Through support from the Ford Foundation and contributions by the individual programs, the Liaison Group was established in 2002 as a means to enhance the collaboration among the programs for shared learning and global dissemination of our individual and collective knowledge and experiences. Liaison Group activities include workshops, research, and publications. The group consists of the following partner programs:

- American Indian Tribes in the United States of America: Honoring Nations Program
- Brazil: Public Management and Citizenship Program
- Chile: Citizen Participation and Public Politics Program
- China: The Innovations and Excellence in Chinese Local Governance Program
- East Africa: The Mashariki Innovations in Local Governance Awards Program
- Mexico: Government and Local Management Award
- Peru: Participation and Local Management Program
- Philippines: The Galing Pook Foundation Awards for Outstanding Local Government Programs
- South Africa: Impumelelo Innovations Award Trust
- United States of America: Innovations in American Government Awards Program

While each of these programs adapts its innovations approach to local concerns and priorities, they all share a strong allegiance to the core idea that government can be improved



through the identification and dissemination of samples of effective solutions to public sector problems.

### **Discussants:**

**Rhoda Kadalie** is the Executive Director of the Impumelelo Innovations Award Trust. Prior to joining Impumelelo, she was a Human Rights Commissioner for the Western Cape and Northern Cape. Ms. Kadalie is also an academic, and the founder of the Gender Equity Unit at the University of the Western Cape. She has traveled extensively, presenting lectures and papers on human rights and gender politics in South Africa at conferences across the world. In 1999, Ms. Kadalie received an honorary doctorate in liberal arts from the University of Uppsala, Sweden.

**Cecilia Kinuthia-Njenga** is a Human Settlements officer at United Nations Human Settlements Programme (UN-HABITAT) in the fields of local development and governance. She has coordinated a range of regional and national technical cooperation projects, including research and advocacy work on numerous local and urban planning issues in Africa and Asia. Ms. Kinuthia-Njenga is the founder of the Mashariki Innovations in Local Governance Awards Program; and serves as the task manager of the Lake Victoria Region City Development Strategies Initiative, a program for improved environmental sustainability and poverty reduction. Before joining UN-HABITAT, Ms. Kinuthia-Njenga worked in the international nongovernmental organization sector and as a consultant in sectoral and macroeconomic policy areas. Her research interests include civil society involvement in governance, sustainable economic development, HIV/AIDS health and education, participatory planning, and small and microenterprise development.

**Gonzalo Portocarrero Maisch** is the Principal Professor of the Department of Social Sciences at the Pontifical Catholic University of Peru (Pontificia Universidad Católica del Perú) and Dean of the School of Sociologists of Peru. He is a Member of the Directive Committee of the Network for Social Scientific Development in Peru. Among Dr. Portocarrero's most recent publications are *Peru Through the School*, *Racism and Mestization*, and *Reasons of Blood and Face: Creole Culture and Transgression in Peruvian Society*. He holds a doctorate in Sociology from the University of Essex in England.

**Amy Besaw Medford** is Director of the Honoring Nations Program at the Harvard Project on American Indian Economic Development. Ms. Medford is also currently a member of the Board of Directors for the Northwest Indian College Foundation. She has served as a Research Associate in family strengthening in Indian Country at the Harvard Project and as



an Administrative Fellow at the Harvard University Native American Program. Ms. Medford holds a bachelor's in Business Administration from the University of Washington, a master's in Organizational Leadership from Chapman University, and a master's in Education in Human Development and Psychology from Harvard University's Graduate School of Education.

**Peter Spink** is Director of the Center for Public Administration and Government (Programa Gestão Pública e Cidadania) in São Paulo, Brazil, and full Professor at the Getulio Vargas Foundation's São Paulo School of Business Administration. He was a Visiting Scholar at the Center for Latin American Studies and the Faculty for Social Science and Politics at Cambridge University in England in 1998; the Philips Visiting Professor at the Lyndon B. Johnson School of Public Affairs at the University of Texas at Austin in 2001; and a visiting professor of Social Psychology at the Universidad Autonoma de Barcelona in 2004. Before moving to Brazil, Dr. Spink was a member of the Tavistock Institute of Human Relations in London from 1970 to 1980. He has published widely on topics including subnational governance, public policy, organizational change, and poverty reduction. He holds a doctorate in Organizational Psychology from Birkbeck College at the University of London.

**Yang Xuedong** is a Fellow and Deputy Director of the China Center for Comparative Politics and Economics. He is also Assistant Director of China Local Governance Innovations Program, an independent, nongovernmental research group focusing on reforms at the local level in China. He received a doctorate degree from Beijing University with major in Comparative Politics. He was a Visiting Fellow at the Harvard Kennedy School from 2001 to 2002. Dr. Xuedong has authored or coauthored books and numerous articles about Chinese local politics and governance, globalization, risk society. His publications include *Globalization Theories and Risk Society* and *Reconstructing Order*. His doctoral dissertation, published in 2002, was *Market Development, Society Growth and State Building: Take the County as an Analytical Unit*.



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## **Innovations in Emergency Management: Making Governments Flexible and Responsive**

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### **Setting the Context**

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In the brief history of the twenty-first century, a number of searing events have focused attention on society's capacity to respond to emergencies. These include natural catastrophes like the Pakistan earthquake, the Asian tsunami in 2004, Hurricane Katrina in the United States in 2005, and paralyzing snows in China in 2008. There have also been outbreaks of new, threatening diseases like Severe Acute Respiratory Syndrome (SARS) in 2003, and the perceived threat of avian influenza. Technology failures and industrial accidents have occurred, such as mine cave-ins in the United States in 2006 and those that regularly occur in China; and major transportation disasters such as the foundering of an Egyptian ferry in stormy seas that took the lives of more than 1000 people in 2006. Finally, terrorist attacks such as the fateful 9/11 assaults on the World Trade towers and the Pentagon, the anthrax-laced letters that closely followed in 2001, the train bombings in Madrid in 2004, and the London subway and bus bombings in 2005.

Disasters, some more dire than these, have always plagued human society. But, the scale, density, and interconnectedness of modern life magnify the impact of present day catastrophes. The relative ease of modern transportation means that some potential emergencies, most notably, emergent infectious disease or terrorism, can travel very rapidly within a single country or across national boundaries. Those immediately in the path of a major emergency are severely affected, but others linked by family or social ties or by connections to disrupted economic networks also experience the disaster in different ways. Many individuals who suffer no harm directly may nonetheless live in fear that future catastrophes will affect their families; others empathically identify with the pain of victims. Society, moreover, pays high monetary costs in reconstructing damaged physical infrastructure—through public budgets and charitable and personal resources—struggling to restore community vitality, and rehabilitating disrupted lives. With increased realization that such disasters are truly linked in terms of their societal consequences comes recognition that greater personal, organizational, national and international efforts are needed to prepare for future catastrophic events.



There are several possible areas of focus in efforts to confront the threat of disaster. We can try to prevent, mitigate, respond to, and recover from such events. This panel looks at several dimensions of this problem through innovations in three countries: India, China, and the United States.

Mihir Bhatt focuses on mitigation and response by reporting on a campaign in India to prepare schools for the impacts of the natural disasters such as earthquakes and cyclones that frequently strike his country. This effort to promote the adoption and implementation of improved safety practices in schools began in Gujarat and has spread to other jurisdictions.

Xue Lan reports on an innovation in Nanning, the capital city of the Guangxi Autonomous region of southern China, to integrate telecommunications capability for citizens to report emergencies and to get appropriate response quickly to the scene. By thinking in an “all hazards” mindset and establishing the communications systems that can support that approach, the city has reduced the burden on citizens to know the correct ways to notify different groups of responders, such as firefighters, police, and emergency medical technicians. The integrated system has improved the speed and effectiveness of their operations.

Jim Schwartz will describe how in a major catastrophe, Incident Command Systems enable diverse groups of responders to integrate and operationally coordinate their actions. He utilized the approach in commanding the emergency response to the terrorist attack on the Pentagon in 2001, and the system was, in turn, institutionalized and diffused under Congressional mandate as the National Incident Management System.

**Arnold M. Howitt** is Executive Director of the A. Alfred Taubman Center for State and Local Government at the Harvard Kennedy School, where he also co-directs the Program on Emergency Preparedness and Crisis Management. He teaches in a number of Kennedy School executive programs, including serving as faculty co-chair of the Crisis Management program, chair of the state health commissioners program, and co-chair of the program for senior officials from Beijing. For four years, he directed the Kennedy School's research program on domestic preparedness for terrorism. Dr. Howitt served on an Institute of Medicine panel that authored *Preparing for Terrorism* and currently serves on a National Research Council/Transportation Research Board panel on emergency evacuation. He is coauthor of the forthcoming book, *Managing Crises: Responses to Large-Scale Emergencies* and is coauthor and coeditor of *Countering Terrorism: Dimensions of Preparedness*. Dr. Howitt's other research focuses on transportation and environmental regulation. In addition, he wrote *Managing Federalism*, a study of the federal grant-in-aid system, and was coauthor and coeditor of *Perspectives on Management Capacity Building*. He received his bachelor's from Columbia University and his master's and doctorate degrees in political science from Harvard University.



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Making Governments Flexible and Responsive  
**A Campaign for Safer Schools**

Mihir Bhatt  
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**What was the problem?**

Unsafe schools are an unfortunate reality. With the spread of education, more and more children go to schools that are vulnerable to fires, earthquakes, pollution, cyclones, food poisoning, stampedes and more. In India, schools and education are under government control, yet when it comes to school safety, officials do not have sufficient technical expertise to reduce many risks their students face. The months following a disaster provide an opportunity to promote mitigation and preparedness efforts to reduce the impact of subsequent hazards. However, following the 2004 tsunami there were hardly any demonstration projects on school safety in partnership with the Government of Tamil Nadu. This challenge was similar to that following the 2001 Gujarat earthquake. There was a clear need to focus on non-structural mitigation measures beyond constructing new school buildings or upgrading existing ones. Without a comprehensive and up-to-date approach to school preparedness, officials could not and cannot perform their duties. Furthermore, children have a right to education, but their right to safe schools is not recognized or even articulated.

**What was the innovation?**

The objective of the innovation was to institutionalize school safety activities within the state education department.

The National Campaign on Child's Right to Safer Schools, launched by the All India Disaster Mitigation Institute (AIDMI) following the 2001 Gujarat earthquake, built a partnership with the District Education Department of the Government of Tamil Nadu to cover the 28 schools affected by the tsunami in the Villupuram District. This was designed as a pilot project to provide:

- a) Training on school safety and first aid.
- b) Insurance coverage for students.
- c) First-hand experience on building evacuations and fire drills.
- d) Preparation of school safety plans.
- e) A wide range of educational material on school safety in Tamil, the local language.



- f) The pilot reached over 400 teachers through trainings on school safety and first aid; it covered over 6,000 students with micro-insurance; it prepared school safety plans; and, included school safety issues in the educational curricula.

**What were the obstacles?**

India is a large country. Schools cannot be made safe in a year; it is an ongoing process. Upscaling and replicating success from one block to an entire district takes both time and resources. The pace of the joint initiatives undertaken by local authorities and civil society organizations is slow. The drawn out process of attracting the interest of state authorities and policymakers is always slow due to the bureaucratic setup of state decision-making. There cannot be instant results. Endless exchanges of letters can be trying. A much bigger threat is that donors lose patience with the slow progress of such projects or that a political turnaround leads government to focus on other politically driven agendas before achieving an appropriate scale of operations.

**What were the results?**

AIDMI started this work in 2001 together with the European Union and the Government of Gujarat after the earthquake. Work during the pilot stage generated awareness materials of high quality and made these available to schools and higher authorities. Based on the demand from the government, the National Campaign on Child's Right to Safer Schools has now expanded to cover 200 or more non-tsunami-affected schools in the district of Villupuram. Through its national campaign, AIDMI—by request of the education department—will spread school safety activities across all the 2,200 schools of the Villupuram district in the next two years. Local NGOs and international UN agencies have picked up on the idea. The district level campaign is gaining momentum in terms of increasing demand for school-specific trainings, materials, and demonstrations. AIDMI is expanding teams and exploring resources to support this massive demand. The education department participates actively and ensures support to cover every single school in the district. Their aim is to demonstrate that it is possible to mainstream safety in schools and in the education system. Beyond the pilot area, in four other states of India, and three neighboring countries, schools are showing interest in working with the campaign to promote safety in their own schools.

**Mihir R. Bhatt** studied and practiced architecture and city planning in Ahmedabad and Delhi, India, and later in the United States, in Cambridge and Washington, DC. On returning to India in 1989, he initiated a project on disaster risk mitigation which is now the 63 member-strong All India Disaster Mitigation Institute (AIDMI), working in five Indian states and three countries in South Asia. Mr. Bhatt studied at the Massachusetts Institute of Technology, received a Russell E. Train Institutional Fellowship from the World Wildlife Fund in 1997,



an Eisenhower Fellowship in 2000, and has been an Ashoka International Fellow since 2004. He has set up the risk transfer initiative—including Afat Vimo, a life- and non-life disaster insurance and mitigation program—for the microenterprise beneficiaries of Livelihood Relief Fund of AIDMI. Recently, he evaluated tsunami recovery for the UK's Disaster Emergency Committee; became a member of the UK's Core Management Group of Tsunami Evaluation Coalition; evaluated the Oxfam International response in South India and Sri Lanka; and helped the UNDP mainstream disaster risk reduction in Sri Lanka. Currently, Mr. Bhatt is reviewing the Asian Development Bank's work on disaster risk reduction in Asia. He is a Senior Fellow at Humanitarian Initiatives at Harvard University (USA), a Full Member of ALNAP (Active Learning Network for Accountability and Performance in Humanitarian Action), and a Member of the Advisory Committee for the ProVention Consortium. Mr. Bhatt is also working on integrating the findings of the independent Tsunami Evaluation Coalition into the recovery efforts, upscaling the micro-insurance program, and promoting risk reduction training and learning in key Asian universities.

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Making Governments Flexible and Responsive

**Incident Management Systems (IMS): An Organizational Template for Operational Coordination**

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**What was the problem?**

Large-scale emergencies, like the terrorist attack on the Pentagon and World Trade Center on 9/11, frequently bring together thousands of responders under conditions of confusion and great danger to the public and themselves. Often no one can predict when, where, and in what ways disaster will strike. The responders, who mobilize to face these situations, coming from diverse professional disciplines, different agencies, and many jurisdictions, may not have worked together before and therefore may lack a basis for factoring the problems faced, organizing their response, and coordinating actions to alleviate the emergency. Without a systematic method of operational coordination, they risk wasting effort, failing to help the victims of catastrophe, and perhaps endangering the lives or safety of fellow responders.

**What was the innovation?**

The Incident Command System (ICS), originally developed in California in the 1970s to address the problem of operational coordination in forest firefighting, is an organizational



template. Its clear definition of emergency response roles, lines of command, and procedures makes it possible for emergency response professionals to learn the system, train and exercise in its use, apply it “in the small” to ordinary response operations, and then utilize it effectively under catastrophic conditions. Over several decades, this organizational innovation spread across professional disciplines and geographically around the United States. It expanded through the wild land fire profession, to urban and structural firefighting, and to other professional fields, including emergency medical services and hospital emergency operations.

At the Pentagon in 2001, with the Arlington County, Virginia, Fire Department in the lead, emergency responders and law enforcement personnel were able to confront and manage the disaster. They launched a massive rescue and fire suppression operation at a huge structure, burning fiercely from the crash impact of a jetliner loaded with fuel, which was simultaneously a major fire site, a crime scene, and the still-operational national military command headquarters. In 2002, to ensure readiness for potential catastrophes of any type, the US Congress mandated that ICS become the basis of a National Incident Management System (NIMS) to be adopted for all emergency response in the United States, irrespective of disaster type or the responders’ professional field, jurisdiction, or level of government.

#### **What were the obstacles?**

To disseminate this innovation widely, even with many agencies already using its techniques, particularly in firefighting and emergency medical services, requires a massive diffusion effort, to inform, train, exercise, and develop high levels of competence in a complicated operational system. Notwithstanding the Congressional mandate, doubts remain in some quarters as to whether this approach is wise. The diffusion effort thus requires persuading members of some professions—notably law enforcement—that NIMS makes sense for their purposes as well, and not only for firefighters. This requires an educational campaign in professional fields like transportation, public works, and social services that rarely thought of their role as emergency responders. The massive in-service training necessary to implement the Congressional mandate is expensive, time consuming, and competitive with other priorities faced by emergency response organizations. Opportunities to practice its techniques in advance of a crisis, especially in exercises that involve multiple agencies, jurisdictions, and even states, are few and far between. Full national diffusion and operational implementation of this innovation is seen as at least a decade-long process.

#### **What were the results?**

Those jurisdictions that have committed to making NIMS a reality have experienced enhanced ability to respond and operationally coordinate efforts in emergencies. Opportunities to build skills have proved useful. The coordination required has contributed to



building stronger personal and operational bonds among different professional groupings and between jurisdictions. Experience has led to some adaptation of the system to fit the needs of professions that had not previously utilized ICS techniques. Momentum, shaped by the federal regulatory imperative, seems to be building for even more widespread replication.

**James Schwartz**, Fire Chief, Arlington, Virginia, served as Incident Commander at the Pentagon on 9-11 and became the new Fire Chief of Arlington County, Virginia, on June 28, 2004. Mr. Schwartz joined the Arlington Fire Department in 1984 as a fire fighter. He was the first line fire fighter (non-officer) to serve as an instructor at the Arlington Fire Academy, a position he held for two years. He rose through the ranks to Lieutenant, Captain, Battalion Chief, and Assistant Fire Chief. In 1998, Mr. Schwartz was named Assistant Chief of Operations, overseeing all response-related activities, including fire, emergency medical services, hazardous materials and technical rescue response, and incident management and operational training. When he became Chief he said, “Our primary focus will continue to be providing extraordinary service in our prevention and public education programs, as well as emergency response. In addition, our focus on terrorism and disaster preparedness response will not waiver, nor will the Department's commitment to the professional development of its members.”

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Making Governments Flexible and Responsive

### **Reporting and Responding to Emergencies in Nanning City, China**

Lan Xue

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#### **What was the problem?**

It had been standard practice in China to have separate phone numbers for citizens to report different types of emergencies: 110 for police, 119 for fire, 120 for medical emergencies, 122 for traffic accidents, and in some cities, 12345 for complaints and discussions with the mayor. In Nanning City, the capital of Guangxi Autonomous Region, government agencies could only handle about 800 calls for their four emergency numbers in a coverage area of about 80 square kilometers. Additionally, citizens were often confused about which number stood for what kind of emergency and they often made errors when reporting their problems.



**What was the innovation?**

City officials realized they had to improve the efficiency and effectiveness of the city's ability to respond. In 2001, they decided to adopt a system based on the C4I (command, control, communication, and computer) concept, which uses digital and network technologies. The new system, which was provided by Motorola, not only integrated the current emergency phone numbers into the same platform, it also expanded the city's ability to include phone numbers related to flood control, earthquake, and other basic infrastructure emergencies. The system became operational on May 1, 2002.

Adoption of the new technology required organizational innovation. City agencies had to learn to pool resources, including sending experienced personnel to the emergency response center, and to coordinate efforts to respond to the emergency calls. Relevant government agencies no longer had to deal with emergencies separately. No matter which of the four numbers people called, the call went to the emergency response center that dispatches the appropriate response team to the site. For major incidents, the system also informed the Mayor's office for further actions.

**What were the obstacles?**

One set of problems was related to technical issues. It took some time for the system to get up and running smoothly. The other challenge was overcoming barriers that existed among government agencies that were unwilling to share resources. Finally, changing the public's behavior was also a challenge. There were proposals for combining all four numbers into one single number to simplify the system, but the public was accustomed to the existing four numbers, a habit which would be difficult to change. So currently, all four emergency numbers are still in use.

**What were the results?**

The system currently in use in Nanning City is the most advanced system in China; the response time is only 2–3 seconds, much faster than the 10–15 seconds norm. It also has a GIS system that automatically detects the location of the phone call for over 1 million phones registered in the system. This allows for much more accurate responses, which saves time and resources. The citywide system can now handle over 6,000 calls a day. It plays a major role in safeguarding major international events held in Nanning, including the China-ASEAN Expo in 2004. It has become a model that is being followed by many Chinese cities.

**Dr. Lan Xue** is Professor and Executive Associate Dean of School of Public Policy and Management at Tsinghua University in Beijing. His teaching and research interests include public policy analysis and management, science and technology policy, and crisis management. Dr. Xue holds a doctorate in Engineering and Public Policy from Carnegie



Mellon University, and previously taught at George Washington University in the US before returning to China in 1996. He has served as a policy advisor for many Chinese government agencies and has consulted for the World Bank, the Asia Pacific Economic Cooperation Council, the International Development Research Center, and other international organizations. He is a recipient of 2001 National Distinguished Young Scientist Award. He serves as a Vice President of the China Association of Public Administration and as Vice Chairman of the Chinese National Steering Committee for MPA Education, among others. In 2007 and 2008, he is at Harvard Kennedy School's Ash Institute as a Visiting Research Scholar, while on leave as a member of the Visiting Committee to the Harvard Kennedy School. Dr. Xue will continue his research on the current reforms in the public policy process in China. His focus is on the roles that social institutions have played in these processes, and the impacts and limits of these reforms on the political development in China, in terms of building infrastructure for democracy.







## Results from Panel 4 Small Group Discussion

*Question 1: What are the ideas from the panel that resonate most in your small group?*

### Preparation

- Contingency plans must be developed and tested
- “Preparedness” must go to the neighborhood level –neighborhoods must be linked to local emergency response plans
- Local knowledge must be integrated with/included in systematic government responses
- Mechanisms to ensure volunteers and citizens can participate effectively must be established ahead of time

### Coordination

- Cooperation among government agencies to respond with an integrated approach
- Coordination of public sector and volunteer responders – clear allocation of roles and responsibilities
- Response must be comprehensive (include all sectors) as well as transparent and accessible



## Results from Panel 4 Small Group Discussion

*Question 1: What are the ideas from the panel that resonate most in your small group?*

### Communication and Training



- Disaster response plans must be validated through major exercises that involve government agencies and citizens -- coordination through an established framework
- Relationships must be redefined so that success is measured by outcomes NOT “who is in charge”
- Citizenry must be equipped with basic disaster response skills as well as mental and physical (supplies) preparedness

### Cycle of Attention / Sustainability



- Continued efforts to maintain public interest through regular updates -- (for example, interest in the tsunami region has waned)
- Developing (as part of emergency response planning) a long-term vision for relief and recovery
- Sustained response via international NGOs, after media attention has waned



## **Results from Panel 4 Small Group Discussion**

*Question 1: What are the ideas from the panel that resonate most in your small group?*

### **Other Comments and Observations**



- Emergency situations are a defining moment for a government – a “trial by fire” that leads to a positive or negative perception
- Leadership is key:
  - Roles must be clarified
  - Vision must be communicated
  - “Openness” to unconventional approaches that involve a wide range of stakeholders
- Media has a role: shaping the response and conveying a strong and uniting message



## Results from Panel 4 Small Group Discussion

*Question 2: What other promising approaches in this area deserve attention?*

### Leadership & Accountability



- Institutional accountability at the state and non-state levels
- Proper accounting of impact including non-monetary measures; transparency data collection and use
- ***Leadership training***

### Community Involvement



- Empowering communities and building relationships with gov't (e.g. service on boards)
- Training, engaging citizens
- Managing influx of volunteers



## **Results from Panel 4 Small Group Discussion**

*Question 2: What other promising approaches in this area deserve attention?*

### **Integration**



- Define roles and responsibilities across agencies & levels of gov't
- Include private entities & NGO's
- Remember "caretaker cities" (bordering communities can easily be overwhelmed)
- Build international coalitions

### **Relief & Recovery**

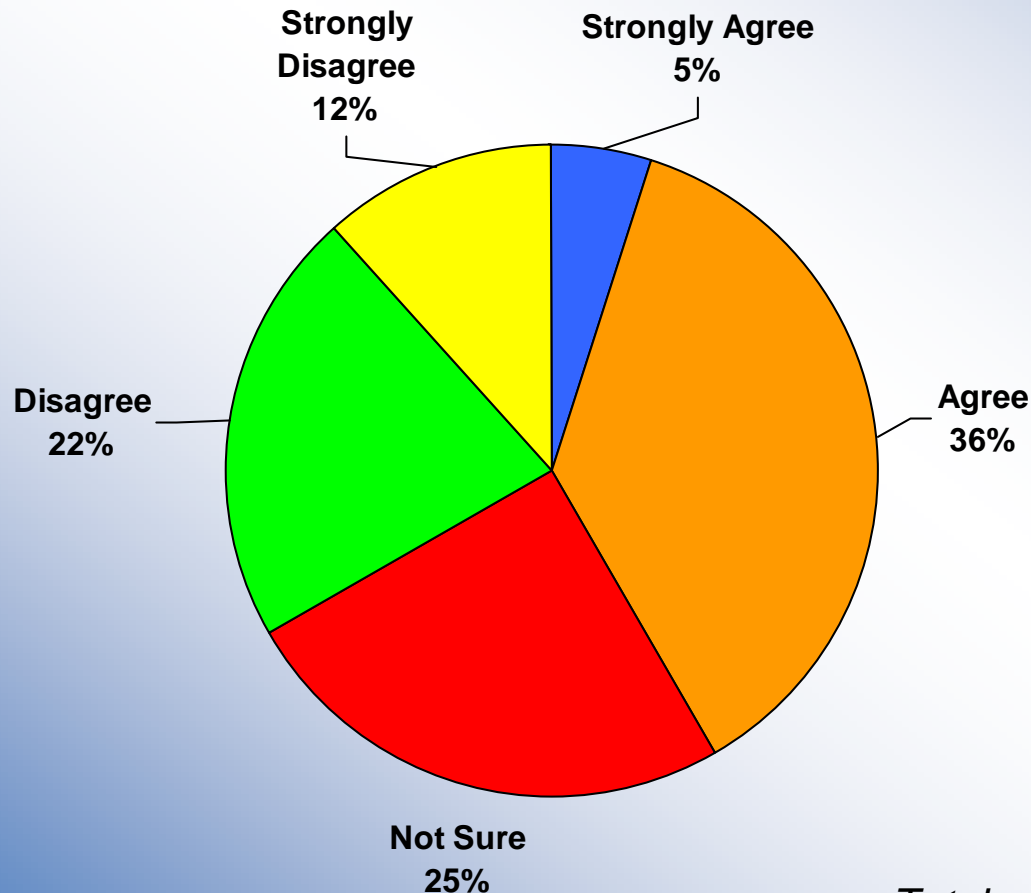


- Impact of relief on local economy
- Accessing federal assistance
- Long-term mental and emotional consequences and associated rehabilitation processes



## Results from Panel 4 Small Group Discussion

*Question 3: Do you think your local government, backed up by higher levels of government, is adequately prepared to deal with catastrophic events?*



*Total number of responses: 120*



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## The Future of Innovation: 21st Century Models of Governance

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### Setting the Context

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I still remember staring at the telephone. It was one of those big, cream-colored, boxy things with three plastic buttons, one for each line, and a big, red plastic “hold” button. No voicemail, no speakerphone, no conference calling, no automatic redial. I had not seen a phone like that in years.

It was 1993, and my first day on the staff of the new president of the United States, Bill Clinton, and the new vice president, Al Gore. The phone was in the Executive Office of the President—a building within the White House complex and a few hundred yards away from the center of power of the most powerful government in the world. Yet, the phone on my kitchen counter was more sophisticated.

Eventually the White House complex got phones that did what modern ones at that time could do, and we got computers, e-mail, and most of the other things that characterize modern offices. But, I still remember that phone. For the full four-and-a-half years I spent there working on reinventing the federal government, every step forward—from closing obsolete agriculture field offices to passing major procurement legislation to putting government services on the Internet—was greeted with a chorus of complaints from congressional and interest group protectors. As the famous and late management guru Peter Drucker wrote, we were accomplishing things that were remarkable in government, but that would not be so anywhere else. Perhaps that was why, in spite of a series of modest and not-so-modest victories, I never got rid of the nagging suspicion that the government we were trying to reform was like that phone—functioning, but at the same time, hopelessly obsolete. We were operating on a corpse, or rearranging the deck chairs on the ill-fated ship, the *Titanic*, or filling the hole in the dike with chewing gum. You get the picture.

Eight years later, after I had left the government, that feeling came back to haunt me. On September 11, 2001, the United States experienced the largest terrorist attack on its soil in history, and the obsolescence of the government was put into stark relief. Organizations that had defeated the Nazis, the Japanese, and then the Soviet Union, were no match for a handful of terrorists. With the attacks on the World Trade Center and the Pentagon, the defense establishment had to face up to the fact that it had been built in another era and was practically impotent in the face of problems of the twenty-first century.



Four Septembers later, the government failed once again. When a massive hurricane hit New Orleans, the wealthiest government in the world was caught unaware and unprepared. In the pictures beamed round the world, the US government looked no more competent than one in the third world when it came to protecting the health and welfare of its citizens.

In the coming century, the US will look to government to fight a war on terror; deal with the potentially emergent economies of China and India; fund the enormous retirement and health care costs of an aging population; and cope with unanticipated crises, many of which will be natural in cause. It goes without saying that this will cost a great deal of money. But, of equal, if not greater importance 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. My new book, *The End of Government as We Know It: Making Public Policy Work*, is dedicated to the topic of policy implementation in this new century. It is a book about the business of government that goes beyond the ends, to grapple with the means of government.

The cases in this panel transcend 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 bureaucratic options, we can increase the capacity and effectiveness of government in the twenty-first century. And, I am very happy today to have three innovators who will present examples of such new forms of public policy development. The first of the innovations will be presented by Lee Bowes, President of America Works. America Works is one of the oldest and most respected welfare-to-work organizations. In 1996, when welfare reform was enacted in the United States, this company led the way in offering former welfare recipients the skills that allowed them to successfully transition to employment. Next, we will hear from Martyantonett Flumian, who will describe the successful collaborative efforts of the Canadian subnational and national governments in citizen identification. Finally, Carlo Flammet, of Formez, will talk about how the Italian government is eliminating duplicative waste in program development, by sharing best practices and lessons learned.

**Elaine C. Kamarck** is a Lecturer in Public Policy who came to the Harvard Kennedy School in 1997 after a career in politics and government. In the 1980s, she was one of the founders of the New Democrat movement that helped elect Bill Clinton president. She served in the White House from 1993 to 1997, where she created and managed the Clinton Administration's National Performance Review, also known as reinventing government. At the Kennedy School, Dr. Kamarck served as Director of Visions of Governance for the Twenty-First Century and as Faculty Advisor to the Innovations in American Government Awards Program. In 2000, she took a leave of absence to work as Senior Policy Advisor to



the Gore campaign. She conducts research on twenty-first century government, the role of the Internet in political campaigns, homeland defense, intelligence reorganization, and governmental reform and innovation. Kamarck received her doctorate in Political Science from the University of California, Berkeley. Dr. Kamarck is the author of *The End of Government as We Know It: Policy Implementation in the 21st Century*.

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## 21st Century Models of Governance

### **Shifting the Paradigm of Public Policy Delivery: The Role of America Works**

Lee Bowes  
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#### **What was the problem?**

During the early 1980s, welfare rolls were skyrocketing even as unemployment was falling. There was interest in creating solutions to this problem: public sentiment had turned against the US welfare model and government seemed unable to create a new public policy model for gainfully employing welfare recipients.

#### **What was the innovation?**

America Works designed a program that demonstrated that women on welfare wanted work, not welfare, and could be successful in obtaining and keeping jobs. By proposing a plan where recipients would only be paid if they got and kept a job for six months, America Works was able to present a package to state governments showing a tremendous return on investment. America Works showed that by quickly getting someone a job and building support services, such as job coaching and outside social services, the retention rates and success of the model was very attractive to the government.

America Works created a market for its company in Ohio, Connecticut, and New York by running successful demonstrations for each state in major cities. These demonstrations gained national publicity. Politicians and their staffs traveled to the sites to learn more about how they could reduce welfare, get people working, and reduce costs. At the same time, the Democratic Leadership Council (DLC) and the Manhattan Institute began to write about and study the effects of the broader issues of welfare reform. They wrote articles, which included America Works and had outside researchers conduct studies.



**What were the obstacles?**

State and federal laws prevented new forms of program delivery, including performance-based contracting.

**What were the results?**

Members of Congress began to introduce bills for welfare reform. This included both Republicans and Democrats. Finally, in 1996, Bill Clinton signed historic federal welfare reform legislation. At that point, America Works expanded its programs to both using its model to run programs and consulting with groups concerning how to market the population to the business community. Twelve years later, welfare rolls have decreased 60% nationwide. Through a creative partnership between first local, and then federal, governments, the hands-on experience of America Works helped (as one of many players) shape a government reform that most agree has been uniquely successful.

**Lee Bowes** is Chief Executive Officer at America Works, a post she has held since 1987. While a graduate student at Columbia University's School of Social Work, she formulated her theory that employment should be central to social policy. Rather than emphasizing income support and social services, policy should be directed toward providing jobs. In 1978, Dr. Bowes joined the nonprofit Transitional Employment Enterprises (TEE). The Ford Foundation and MDRC (formerly, the Manpower Demonstration Research Corporation) founded TEE to operate the national supported work demonstration. It was here that she designed the private sector model that is the foundation of America Works. Currently, Dr. Bowes directs all activities of America Works' \$7 million business. America Works is a 25-year-old, for-profit company that has placed over 100,000 people in jobs throughout the United States. America Works has advocated such policy initiatives as welfare reform; performance-based contracting; work first; and, most recently, prison-to-work. Dr. Bowes also serves as an Adjunct Professor at Columbia University's School of International and Public Affairs, where she lectures on human resource management, social policy, and innovative management techniques. She has recently completed a book on human resource management under contract with Harpers, and she is widely published in journals such as *The New Democrat*, *The Entrepreneurial Economy*, and *Social Policy Research*. Dr. Bowes is a frequent guest and speaker at associations on welfare-to-work. Most recently, she has appeared at the Public Welfare Association, the Democratic Leadership Council, the Renaissance Weekend, and the Association of Community Development Corporations. She holds a doctorate in Sociology from Boston University.



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21st Century Models of Governance

**The Role of BuoniEsempi.it (Good Practices in Public Administration)**

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**What was the problem?**

Successful public administration experiences in Italy were usually framed in a local context. When a local Italian authority encountered a problem, it created and implemented a project without knowing that a local authority in another Italian region had already been implemented the same project. The lack of promoting, sharing and enhancing Italian experiences in innovation caused a considerable waste of energies in terms of costs and efforts. The project BuoniEsempi.it (Good Practices in Public Administration) is changing that.

**What was the innovation?**

BuoniEsempi.it ([www.buoniesempi.it](http://www.buoniesempi.it)) represents the most comprehensive data bank of innovations in public administration in Italy. The BuoniEsempi.it data bank has been in operation since May 2003. The data bank collects projects and successful experiences in innovation from all levels of government: central, local, even primary and secondary schools and academies. It promotes the value of each “good practice” in a context that stresses the transferability of learning and experience. BuoniEsempi.it is also a way of sharing learning; for example, training sessions focus on models of innovation and interactive communication methodologies for both the Internet and digital television. In other words, learning is even available through one’s personal computer at home or one’s mobile telephone.

The BuoniEsempi.it database currently houses about 2,250 projects, organized and classified by content criteria. It includes project support documentation, and shares operating materials, guides, interactive tools and papers from laboratories. The data bank is updated weekly through cooperation with the administrations themselves, and a dedicated staff of high-level editors.

Beginning in July 2004, an international section of the Web site ([international.buoniesempi.it](http://international.buoniesempi.it)) became operational. Its aim is to share experiences in innovation, to collect European good practices, and to foster horizontal cooperation among public administrations in Europe.



**What were the obstacles?**

The lack of a “digital culture” made it difficult, in the beginning, to make the BuoniEsempi.it project understood among potential contributors and users. Access to the Internet is growing quite quickly in Italy, yet we still have to work to stimulate a culture of interaction among all levels of public administration. Also, “learning from sharing” experiences is a concept that still needs to be promoted in the public administration.

**What are the results?**

There are myriad results. One very interesting project is Partecipa.net ([www.partecipa.net](http://www.partecipa.net)), which is an e-democracy project of the Emilia-Romagna Region of 4 million inhabitants. It began in September 2005, and is one example of institutional collaboration that promotes participation through the new mechanisms and a new information system.

The project includes the following areas: digital citizenship development, information society actions and projects, cooperation among government administrations, and networks and technologies. It was created through a partnership that includes 22 public administrations and nine associations from the region. It uses and integrates best practices developed regionally: UNOX1, Demos, and CRC (regional centers of competence in e-government). It provides for evaluation of results and has created a committed working community. According to Partecipa.net, e-democracy allows the local government to reach the following objectives:

- a) It improves administrative transparency that increases institutions' and citizens' attitudes towards self-responsibility, and promotes collective learning by spreading and sharing information too often not well understood by citizen.
- b) It increases the effectiveness of administrative actions and supports political institutions in defining problems through appropriate analysis and evaluation of solutions.
- c) It increases the efficiency of administrative actions and broadens the approval area of the administrations.

As of today, Partecipa.net involves 42% of about 88% of Emilia-Romagna population over the age of 15. That percentage corresponds to the population of seven municipalities and two provinces. It is equivalent to more than 1,600,000 inhabitants. The project pays particular attention to young people, focusing on students of the regional high schools, aiming to involve at least 20% of them (about 24,000 students). Currently, six administrations of different institutional levels (regions, countries, and municipalities) have implemented the toolkit provided by Partecipa.net. They have created more than 100 online informative newsletters, 15 discussion forums, and 10 mailboxes for questions. In the same



Emilia-Romagna region, they have also implemented indicators for measuring government performance, with quite a good success in improving the performance and quality of services.

The participation toolkit has always been thought to be an easy tool that can be used by all agencies. Its greatest benefit is its ability to be adapted and reused. In fact, it consists of different tools, which work separately or together, to match the needs of the different citizens groups. The kit software modules are very affordable. The innovative aspects of Partecipa.net have also been recognized by the United Nations. The project was selected as a finalist for the UNPSA (United Nations Public Service Award) in 2007.

**Carlo Flamment** was born in Rome in 1955. In 1978, he graduated from the La Sapienza University in Rome with a First Class Honors Degree in Economics. Between 1977 and 1978, he studied at the London School of Economics. Then he attended courses in management, finance, and business at IMEDE (now IMD) and INSEAD Business Schools in Fontainebleau, France, and Lausanne, Switzerland, respectively. Mr. Flamment then became a Member of the Board of Directors of the Financial Investment Agency of the Regione Lazio (Filas), and in 1993 was elected President of Filas. From 1993 to 1997, he held the position of Councilor and President of the Council Committee “Roma Capitale” for the Jubilee 2000. In December 1999, he was nominated as President of FORMEZ, a position he currently holds.

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## 21st Century Models of Governance

### **Identity Management: Unlocking the Door to Multi-jurisdictional Collaboration in Transforming Service**

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#### **What was the problem?**

Research in Canada and around the world shows that citizens continue to find government complex, fragmented, frustrating, and hard to access. What citizens say they want is timely, consistent, personalized, and convenient service. They will consent to sharing information if it is more convenient to transact their business with government. With their consent, information given to one government agency can be accessed by multiple jurisdictions. With appropriate protection, access to information enables governments to serve citizens in a far more transparent fashion while reducing the costs to government. The process of establishing and “creating” identity begins at birth. This is one of the most important roles that governments will continue to play.



A short time ago in Canada, registering a birth in the province of Ontario was a lengthy and time-consuming process. It was complicated and actually engaged governments across departmental and jurisdictional boundaries. It involved many departments and multiple forms. Some of the process had to be undertaken in person and some by mail. The application and issuance of documents had to follow a predetermined sequencing that was not obvious to citizens.

At a minimum, parents had to complete three separate paper applications for three different levels of government. They included obtaining a birth registration, a birth certificate, and a Social Insurance Number. After submitting the birth registration to the municipality, they had to wait to receive confirmation before they could apply for a birth certificate from the province. Then when the birth certificate arrived, they could apply to the federal government for a Social Insurance Number.

**What was the innovation?**

Working in close partnership, the province of Ontario and Service Canada introduced the Newborn Registration Service, an innovation that enables parents to register their baby's birth, apply for the child's birth certificate and their Social Insurance number, all at the same time. Before parents leave the hospital, they are provided with a birth information package that encourages them to apply for their baby's registration online. When they do so, they are offered the additional service of requesting their baby's birth certificate and Social Insurance Number without having to go through three separate processes and application forms and without having to duplicate the required information.

**What were the obstacles?**

In Canada, the constitution mandates that the management of vital events information be handled at the provincial level. Over time, this has resulted in all levels of government collecting information and managing it in their own way for their own purposes.

Understanding this and scrutinizing it has allowed multiple levels of government to work together in a very different way.

It took a great deal of dialogue, time, and trust to build relationships that allowed all governmental actors to put the interests of the citizen ahead of program, budget, and traditional methods of delivery that had resulted in the existing systems. All jurisdictions had to trust that one could collect and manage the transfer of information to all. They had to believe that this would enhance the integrity and quality of data to all.

Through the partnership, new possibilities were explored for changes and improvements. The team had to answer such questions as: Is it really possible to collect information once and use it often? How would privacy protection, accuracy, and transparency of citizen information be enhanced? How could jurisdictions improve collection and use of



information? And, finally, could service be provided for multiple jurisdictions at point of contact?

Senior levels of management at both the federal and provincial governments had to be engaged. A dedicated project management team was established to sort out the issues associated with implementation. A joint business and technology team was also appointed to work through all of the business issues. These groups reported all obstacles back to a Steering Committee. The process took over two years to make implementation of the service a reality. The teams were multidisciplinary. They involved policy, program, operations, legal, and technology expertise.

### **What were the results?**

By streamlining the three application processes into one integrated online service, the Newborn Registration Service has cut the time for processing important identity documents in half. Continuing improvements in the processes continue to result in enhanced speed of service and further cutting the processing time from months to weeks.

In addition to increasing operational efficiencies and speed of service, the Newborn Registration Service offers parents the assurance that the privacy of their personal information is protected. The service has the advantage of enhancing the data that is captured and maintained in provincial and federal registers. The electronic application process greatly reduces the number of errors that tend to plague paper-based processes.

There is no doubt that developing partnerships leverages the potential for collaboration across governments. By leveraging each other's capabilities, governments are able to improve service, and at the same time, lower costs. The collaborative potential is enormous. This partnership also allowed governments to share "the back office". As confidence has grown as a result of this success, the parties are increasingly looking for ways to increase the members to the partnership, adding greatly to the numbers of services that can now be added. Programs and services now under consideration include health cards, passports, child education savings grants, child tax benefits, and childcare payments. The possibilities are endless. In the process, two levels of government working together have also "created" a very direct link between the role of governments in managing identity on a continuum that begins at birth and includes services and programs. Citizens' expectations that multiple levels of government with complementary programs work together to achieve interlinked outcomes has also been achieved. This was achieved by understanding that managing identity in a collaborative fashion provides the backbone to "joining up" services from many jurisdictions.

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a bachelor's in History from the University of Toronto, a master's in History from the University of Ottawa, and is completing her doctoral studies at the University of Ottawa on the administrative history of the Treasury Board Secretariat of Canada. At the University of Ottawa, she has also been an Executive-in-Residence and the 2006 Jarislowsky Chair in Public Management. Professor Flumian is a seasoned senior executive at the Deputy Minister level in the Canadian federal Public Service with more than 20 years of large-scale operational experience in the economic, social, and federal and provincial domains. She is the visionary that created Service Canada, the federal government's focal point for one-stop service delivery to Canadians that places the needs, expectations and priorities of citizens and communities at the center of the design and delivery of services. Professor Flumian sits on the advisory board of the Harvard Policy Group for Network-Enabled Services and Government of the Leadership for a Networked World Program at the Harvard Kennedy School. She also serves on the advisory group of the Government 2.0: Wikinomics, Government and Democracy global research project.



## Results from Panel 5 Small Group Discussion

Question 1: What are the ideas from the panel that resonate most in your small group?

### Service Delivery



- ***Creating a one-stop shop*** for services across jurisdictions *and...*
- ...not duplicating work and services across jurisdictions
- Earning citizen trust for process improvement
- Reduce bureaucracy to improve efficiency

### Creating Markets for Public Good



- Has great potential, *but...*
- There's concern that this concept may not be relevant to countries in the "South"



## Results from Panel 5 Small Group Discussion

*Question 1: What are the ideas from the panel that resonate most in your small group?*

### Creating Internal & External Networks



- Partnerships with private sector
- Boundary management across jurisdictions
- Government as conductor, making the connections

### ...RELIES on Shared Goals and Incentives, and *Focus*



- Competition *can* be useful in improving focus
- Process improvement through addressing core issue
- Incorporating citizen feedback into goals
- Recidivism example: Focus on need for employment



## Results from Panel 5 Small Group Discussion

*Question 1: What are the ideas from the panel that resonate most in your small group?*

### **e-Government & Info Management**



- Technology to facilitate information gathering, analysis and application, but also citizen participation
- Data protection and management (as in the “identity” example)
- e-Gov to improve transparency

### **Performance & Dissemination**



- Measuring performance (again, incorporating citizen feedback)
- Sharing knowledge and best practices
- Apply transformations between national governments?



## **Results from Panel 5 Small Group Discussion**

*Question 2: What other promising approaches in this area deserve attention?*

### **Cooperation between Government & Civil Society**



- Building relationships is key
- Incentives to drive innovation
- Partnerships to increase accountability and transparency

### **Accountability**



- Accountability for networked governments
- Raising expectations for standards
- Using non-transaction modalities for measurement
- Long-term v. short-term gains



## Results from Panel 5 Small Group Discussion

*Question 2: What other promising approaches in this area deserve attention?*

### On Prisons & the Justice System



- Emphasizing rehabilitation
- Skill training and treatment
- Restoring discretion for judges
- Integrated approach to prison reform

### Technology



- e-Governance facilitating social justice
- Indigenous innovations – more important that they are context-tailored than technology-oriented



## Results from Panel 5 Small Group Discussion

*Question 2: What other promising approaches in this area deserve attention?*

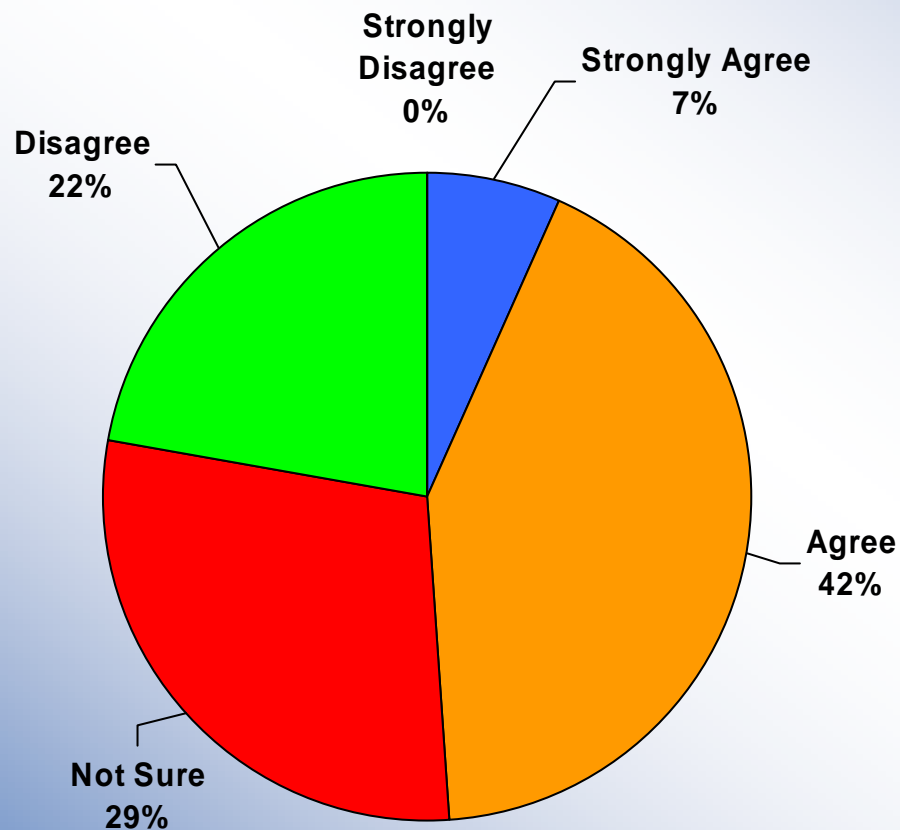
### Additional Points for Consideration

- Impact of globalization
- Need for more case studies from developing countries
- Quality of services (versus quality)
- Government as catalyst for idea development; avoid assuming citizenry always knows what's needed
- Examining how the framing of issues generates the focus or "root cause"



## **Results from Panel 5 Small Group Discussion**

*Question 3: Is your government adapting its structure to foster innovation?*



*Total number of responses: 45*



# **The Challenge of Good Governance in India: Need for Innovative Approaches**

by

**Balmiki Prasad Singh \***

## **Abstract**

This paper makes an effort to provide a framework for good governance in India by identifying its essential features and shortcomings in its working and emphasizes need for innovative approaches. No theory of governance could be intelligible unless it is seen in the context of its time. India's democratic experience of the past six decades has clearly established that good governance must aim at expansion of social opportunities and removal of poverty. Good governance, according to the author, means securing justice, empowerment, employment and efficient delivery of services. The paper deals with these subjects in detail and also analyses administrative and political faultlines. It identifies criminalization of politics and corruption as two major challenges. It also highlights shifts in meaning and content of national values of the freedom movement particularly those of nationalism, democracy, secularism, non-alignment, and mixed economy and its impact on the nitty gritty of administration as well as on the intellectual build up of the organs of the Indian State. The paper lists several areas of concern that need to be addressed energetically and calls for synergy of efforts between government, the market and the civil society. Innovations are generally taking place. There are, however, two areas that need special attention by innovators, namely, economic empowerment of women and livelihood programmes based on local resources and upgraded skills. The need is to formulate a national strategy that accords primacy to the Gandhian principle of '*antodaya*' without sacrificing growth and by making instruments of State accountable for good governance.

## **Meaning**

As a student of political science, one was taught that the essential features of the State included: (i) a definite territory; (ii) population; (iii) government; and (iv) sovereignty. The government is viewed as an agency or machinery through which the will of the State is formulated, expressed and realised. While this traditional distinction between the state and the government holds, the role of the government and nature of governance have been changing from time to time and even at a given point of time there is considerable variation when the form of government is a democracy or otherwise.<sup>1</sup>

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\* Shri B.P. Singh is a distinguished scholar, thinker and public servant. He was Union Home Secretary (1997-99) and currently Mahatma Gandhi National Fellow. Oxford University Press, Delhi has brought out his latest work "Bahudhā and the post-9/11 world" this year. This paper was circulated in the second international conference of the Global Network of Global Innovators organized by Ash Institute for Democratic Governance and Innovation and John F. Kennedy School of Government, Harvard University during March 31 – April 2, 2008, at Cambridge, Massachusetts, USA.



There is no accepted definition of governance. There is divergence of opinion about the meaning of governance between the conservatives and the liberals, between socialists and the communists. The World Bank, for example, has sought to take a middle position by defining governance particularly as the traditions and the institutions by which authority in a country is exercised. This includes (i) the process by which governments are selected, monitored and replaced; (ii) the capacity of the government to effectively formulate and implement sound policies; and (iii) the respect of citizens and the state for the institutions that govern economic and social communications among them.<sup>2</sup>

In recent years the word governance has become a very fashionable term and is being used in a variety of ways and that covers a large number of organizations both in public and private domains.<sup>3</sup>

For our purposes, however, we are confining governance only to public domain. We are concerned here with that form of governance which serves the citizens by safeguarding territorial integrity of the State and securing individual security, rule of law and the delivery of services ranging from education, health to livelihood and food security.

## **Context**

No theory of governance would be intelligible unless it is seen in the context of its time. In the beginning of the 21<sup>st</sup> century, it has become evident that those who want minimal government are having an upper hand against the advocates of the paternalist welfare state. But there is no run-away success in sight. One thing has emerged clearly. An efficient, effective and democratic government is the best guarantor of social justice as well as an orderly society. Similarly, there is also emphasis on the fact that the administrative system has to be country specific and area specific taking in view not only the institutions of governance and its legal and regulatory mechanisms but also its market, its civil society and cultural values of the people. The government would, therefore, have the singular responsibility to create an enabling environment where development programmes get properly implemented and that creative minds do not get stifled or their energies diverted from undertaking new initiatives or enterprises. The principal response of the state, therefore, would be to facilitate, to enable, and to coordinate. Neither the market nor the civil society can perform this role as effectively as the government and thus they cannot become substitutes for the government.

India is not excluded from this global debate or transition from socialist order to capitalist growth models. Fortunately, the Indian State does not have the monopoly of the public sphere. The civil society is increasingly more concerned with public sphere issues and government intervention is considered necessary to provide welfare schemes to cover social safety needs, upgrade health-care to protect children, and help provide opportunities for women and the minorities.



India's political leadership, policy makers and business brains are actuated by a strong desire to make the country an economic super-power in the 21st Century. The high rate of economic growth coupled with comfortable foreign exchange reserves and rising sensex figures have imparted in them a growing confidence. The world is also looking at India with respect and considers India and China as ideal economic growth models. India is aiming to have a high growth rate with focus on equity. Although these two objectives are not always contradictory but the conflict arises when scarce resources are diverted to meet the demands of the growing middle class or business houses by ignoring the needs of the poor. The imperatives of democracy, however, are forcing Indian political leadership to look deeper into the causes of poverty, inequality and suffering of the common man. In this on-going debate, major shifts in national value system has somewhat gone unnoticed and/or under-emphasised by academicians, media commentators and India-watchers.



## II

### **National Values**

The concept of governance was decisively shaped by the freedom movement led by Mahatma Gandhi and the aspirations of founding fathers of the Constitution. Every nation is guided by certain values which are shared by the people and the government. National commitment to such values greatly influence the content and the quality of governance. These values in the Indian context at the time of the inauguration of the Republic were those of nationalism, democracy, secularism, non-alignment and mixed economy.

It may be recalled that these core values of nationalism, democracy, secularism, non-alignment and mixed economy were forcefully articulated by national and state level political leaders, academicians and journalists in the context of building a new India. The most eloquent expression of these values were made in debates in Parliament and legislative assemblies, in periodic letters to CMs from India's first Prime Minister Jawaharlal Nehru, in academic journals of politics, economics and history, in newspapers and at times through statements of business captains, and occasionally in judicial pronouncements.

The meaning and context of nationalism that had flourished during the freedom struggle got narrowed down in physical terms as a result of the partition of India at the time of independence. The meaning of nationalism today relates more to further strengthening of a trillion dollar gross domestic product economy and less to cohesion among states or integration of princely order that Sardar Patel so magnificently accomplished.

Another historic decision was taken to make India a secular state notwithstanding the partition of India on religious lines based on the two-nation theory. Though there is no State religion, the Constitution went on to make a special provision to protect religious and educational institutions of minorities. A uniform civil code became a directive principle for the State in order that minorities could pursue their religious codes in respect of marriage, inheritance and other property rights in the meanwhile. Religion always had a major place in our private lives. Politicisation of religious, ethnic and caste ties have reached unprecedented levels. Today communal and sectarian approaches are more prominent in our polity and also in public policy at national and state levels.

India decided to take an independent stand between the two super-powers i.e. the United States and the Soviet Union, and provided leadership to the non-aligned movement. However, India gradually tilted towards the Soviet Union. In today's unipolar world, India has moved towards the United States. In fact, the meaning of nonalignment has undergone such changes that it is no longer recognizable in its old form.



For the last sixty years, our ideological frame of reference was determined by public choice. It is another matter that it was not always real. But it was fashionable to be left or left of the centre rather than being a rightist or a conservative. Socialism was preferred over capitalism and minimal state. The mixed economy which in ideal terms would have meant an equal role for the private sector and the public sector overwhelmingly yielded in favour of the latter. The belief in the state apparatus as a major instrument of social and economic change gave the public sector the primacy of position and placed it at what was picturesquely described as “commanding heights of the economy”. Since 1991 we have slowly moved towards the capitalist path.

A bold and magnificent decision was taken to introduce one person one vote system in the country. The universal suffrage paid rich dividends and the subsequent devolution of power to grassroots levels has helped consolidate the gains. Democracy is at the heart of governance in India. However, in its working, democracy has revealed several inadequacies. The chain of accountability from the civil service to legislature and political authority is weak; follow-through at higher levels of administration is poor; and limited oversight by Parliamentary committees is part of the problem. Criminalisation of politics and increasing role of caste and religion in electoral politics are major concerns. The performance of the civil service, the primary agency of implementing development is often undermined by overstaffing, low salaries, graft and political interference. Many people wonder as to whether it was appropriate to expect that a constitution largely based on the colonial model of Government of India Act of 1935<sup>4</sup> would ensure good governance in a democratic set-up?

In the initial years of the Republic, the executive functioned with considerable autonomy in as much as district officers regularly heard petitions and grievances, intervened in the maintenance of public order particularly in case of ethnic and communal disturbances and enjoyed considerable discretion in implementation of land reforms and community development projects. The hold of politicians and specially ministers began with demands for allocation of scarce resources in favour of ruling elites and powerful interest groups. The State gradually started shedding its neutral stance in favour of the demands of the ruling party or coalition groups. The ‘neutrality’ of the civil service came under stress with ministerial instability since 1960s in the states. The fragmentation of the authority at centre characterised by coalition governments since the late 1980s has only deepened and extended this process.

But election after election common people are asserting their voice, changing their representatives in a manner that has ensured change in government in the states and also at the Centre. This phenomenon supported by the civil society groups, the media and an active judiciary has ushered in demands for accountability of the executive.

Democracy has really moved beyond periodic elections towards ‘good’ governance.



### **III**

#### **Good Governance**

Citizens all the world over look up to the nation-state and its organs for high quality performance. When good governance is guaranteed, citizens go about their personal business and pursuits with enhanced expectations. On the other side of the spectrum, bad or indifferent governance not only restricts opportunities of success but it can even degenerate into sectarian conflicts and civil wars. In such an atmosphere personal accomplishments as well as social achievements get severely restricted.

Good governance helps create an environment in which sustained economic growth becomes achievable. Conditions of good governance allow citizens to maximize their returns on investment.

Good governance does not occur by chance. It must be demanded by citizens and nourished explicitly and consciously by the nation state. It is, therefore, necessary that the citizens are allowed to participate freely, openly and fully in the political process. The citizens must have the right to compete for office, form political party and enjoy fundamental rights and civil liberty. Good governance is accordingly associated with accountable political leadership, enlightened policy-making and a civil service imbued with a professional ethos. The presence of a strong civil society including a free press and independent judiciary are pre-conditions for good governance.

What is ‘good’ governance in the Indian context? The central challenge before good governance relates to social development. In his famous ‘tryst with destiny’ speech on 14 August 1947, Jawaharlal Nehru articulated this challenge as ‘the ending of poverty and ignorance and disease and inequality of opportunities’. Good governance must aim at expansion in social opportunities and removal of poverty. In short, good governance, as I perceive it, means securing justice, empowerment, employment and efficient delivery of services.

#### **Securing Justice**

There are several inter-related aspects of securing justice including security of life and property, access to justice, and rule of law.

#### **Threats to Peace**

The most important public good is the supply of security especially security of life and property. The responsibility of the Indian nation-state to protect the life and property of every citizen is being seriously threatened particularly in areas affected by terrorism (Jammu and Kashmir), insurgency (north-eastern states), and naxalite violence in 150 districts of India’s mainland. The Indian nation-state is aware of complexities of the situation and the need is to show greater determination and relentless in support to its



instruments of law and forces of democracy and social cohesion to defeat the elements of terror, insurgency and naxalite violence.

### **Access to Justice**

Access to justice is based upon the basic principle that people should be able to rely upon the correct application of law. In actual practice there are several countervailing factors. Some citizens do not know their rights and cannot afford legal aid to advocate on their behalf. A related aspect is fairness of access as some people involved in the legal proceedings and large number of criminal prosecutions are not voluntary participants. The most severe challenge relates to complexity of adjudication as legal proceedings are lengthy and costly and the judiciary lacks personnel and logistics to deal with these matters. For example, at the end of 2006 over 4 million cases (42.42 lakhs) were pending in high courts and over 25 million (2.54 crore) in the sub-ordinate courts in the country. Systematic solutions are, therefore, needed for strengthening access to justice. At the same time ad hoc measures are required to provide immediate assistance to the needy citizens.

### **Rule of Law**

The concept of good governance is undoubtedly linked with the citizens' right of life, liberty and pursuit of happiness. This could be secured in a democracy only through the rule of law.

The rule of law is expressed through the axiom that no one is above the law. One has to clearly understand that the rule 'of' law is different from the rule 'by' law. Under the rule 'by' law, law is an instrument of the government and the government is above the law while under the rule 'of' law no one is above the law not even the government. It is under this framework that rule of law not only guarantees the liberty of the citizens but it also limits the arbitrariness of the government and thereby it makes government more articulate in decision-making. The rule of law as Dicey postulated is equality before law. This is secured through formal and procedural justice which makes independent judiciary a very vital instrument of governance. It is widely appreciated that human factors i.e. the quality of political leadership, the executive and judicial officials play important roles not only in upholding supremacy of rule of law and in efficient delivery of service but also in shaping traditions, customs and institutional cultures that are integral part of the liberal democratic machinery.

In our constitutional system, every person is entitled to equality before law and equal protection under the law. No person can be deprived of his life or personal liberty except according to the procedure established by law. Thus the state is bound to protect the life and liberty of every human being. In the majority opinion in *Keshvananda Bharti vs State of Kerala* that "rule of law" and "democracy" were declared as the basic structures of the Indian constitution not amenable to the amendment process under article 368 of the constitution.<sup>5</sup> It flows therefrom that the courts have the final authority to test any administrative action on the standard of legality. The administrative or executive



action that does not meet the standard of legality will be set aside if the aggrieved person brings an appropriate petition in the competent court.

A necessary corollary of this phenomenon is called 'judicial activism'. A large number of Public Interest Litigations (PILs) are filed in High Courts and the Supreme Court against the apathy of the executive. This has served us admirably but it has also highlighted the need for circumspection and self-restraint on the part of the judges in performance of this task. It is being increasingly felt that PIL is being misused by people agitating private grievances in the garb of public interest, in settling political scores and seeking publicity than espousing public causes and defending the deprived.

Fortunately, in the case of Divisional Manager, Aravali Golf Club vs Chander Hass, a Division Bench of the Supreme Court in an order in December 2007 cautioned 'against judicial activism' and issued 'an unequivocal message to the judiciary' to restrain itself.<sup>6</sup>

Another matter of significance in the context of good governance relates to the fact that there are virtues of 'judicial creativity' but this phenomenon must not stifle 'executive creativity' particularly of officials working at grassroots level for they are in day-to-day contact with citizens and interact with them in myriad ways.

### **Empowerment**

An empowering approach to poverty reduction needs to be based on the conviction that poor people have to be both the object of development programmes and principal agency for development.

Our experience shows that when poor people are associated with public programmes, they have consistently demonstrated their intelligence and competence in using public funds wisely and effectively. The involvement of poor women in micro-financing institutions of SEWA in Gujarat or in self-help groups in Andhra Pradesh and Tamil Nadu has clearly established that they not only understand financial systems but also repay their loans on time. In short, the poor women have demonstrated that they can outperform all other customers in profitability.

Our Constitution is committed to two different set of principles that have a decisive bearing on equality. **First**, is the principle of equal opportunities to all and the **second**, the principle of redress of educational and social backwardness. The social and political climate has radically changed in the country from what it was in 1950 or 2000. However, notwithstanding, an increasing role of the market and the NGOs as institutions of modernization and progress in the country, the State continues to have a leading say in transformation of society to make it just and equal. The question is, not only of the extent to what reservation in Government employment can really change things for the better, but how it could, in order to benefit the socially, educationally and economically backward ones.



Our preferential policies in government employment was initially confined to persons belonging to scheduled castes and scheduled tribes. After acceptance of Mandal Commission Report by the Government of India in the year 1990, this got extended to eligible candidates hailing from other notified backward classes as well.

One of the advantages of affirmative action has been improvement in the distribution of opportunities among the dalits and backward classes. Ordinarily children of poor and lower status parents get lower level jobs and consequently lower salaries and income. The reservation of jobs at all levels has ensured that the children of dalits and backward class parents are selected for All-India services like the IAS and the IPS. The advantage, however, has not as yet percolated to the entire community of poorer and lower status parents.

In providing these protectionist regulations in government employment no special care was taken for the poor students since the Constitution only recognized “educational and social backwardness” and not economic backwardness as a norm to be applied in formulation of preferential policies in government employment.

The Supreme Court in a landmark Judgment (Indira Sawhney & Others Vs. Union of India and Others) delivered on 16.11.1992, while upholding the reservation of 27% of vacancies in the civil posts and services in the Government of India in favour of other backward classes (OBCs) provided for exclusion of socially advanced persons/sections among them commonly known as “**the creamy layer**”. The Supreme Court further directed the Government of India to specify socio-economic criteria for exclusion of “**the creamy layer**” from the OBCs. Subsequently, the children of persons holding eminent positions in Government and also of rich farming families were made ineligible from reservation in services. Recently, the Government of India have stipulated that sons and daughters of persons having gross annual income of Rs. 2.5 lakhs per annum and above would be excluded from reservation of services.

In the scheme of affirmative action that the Constitution provides, the State has been authorized to make special provision not only for the advancement of socially and educationally backward classes of citizens, for the Scheduled Castes and the Scheduled Tribes but also for women and children. Significant measures have been taken in this regard during the last sixty years. One such step relates to reservation of seats for women in local bodies.

Today India has 3.3 million elected representatives in Panchayats in nearly half a million villages out of whom over one million are women. Assuming that for every elected office in the village Panchayat system there are 3 contenders, we have over 10 million stakeholders of democracy – an arrangement that secures democratic continuation in India. Direct elections have also brought into the village national life and consciousness about strengths of democracy and the need for democratic behaviour in terms of the Constitution of India. The print and electronic media in particular have strengthened this process.



Sensitively enough in the era of growing role of the private sector, the State is demanding the private sector to adopt affirmative action policies. The developments in this area would lead to greater empowerment of the people and would also have a positive bearing on social responsibility sensitivities of the private sector. We have to keep it in view that exclusion will sooner or later destabilise the system.

We have more than 200 million people below the poverty line. This poverty line indicates that the income of the people below poverty line is not high enough for adequate nutrition. There is high concentration of persons below poverty line in the large and poorer States of the North and the East. The need is to identify persons below poverty line correctly and computerise the list. It would be possible to then to give economic advantages to them. This economic criteria will naturally cut across religion and caste lines, among rich and poor States, and also between rural and urban areas.

The crucial issue is how to enhance educational opportunities for poor students. How to impart skills and to upgrade merit of poor students through better educational opportunities? How to provide long term credit to poor students through public sector and cooperative credit institutions?

Empowerment of the poor people would create new demands and pressures on services and these would be in nature of quality. An effective administrative system alone can manage these new demands.

We are living at a period of time that encouraged by affirmative action incorporated into the Constitution about Scheduled Castes, Scheduled Tribes and Other Backward Classes several communities are demanding similar facilities. Recent happenings have shown signs of degenerating into street conflicts and civil wars. All these constitutional steps of empowerment are within a frame. The need is to look at the frame itself now and to take such corrective measures as would be necessary to allow the fruits of affirmative action reach those who need it.

A significant threat in terms of empowerment could come if moves are made to take a religious or sectarian view of secular, political and economic action. We must take into account the presence of extremist elements among different religious groups, i.e. the Hindus, the Sikhs and the Muslims, who are occasionally nourished by the communal violence that they stir, in our task of maintenance of peace and order in the country.

### **Employment**

Generation of gainful employment for the youth is the most challenging task facing India's political economy.

India's working age population is over 50 per cent. This share will continue to rise and reach 60 per cent in 2050. A fast-growing working population will ensure more workers, more saving and hence more investment. This mechanistic view of growth



assumes that demography is destiny and that economic policies and programmes play little or no role. But population growth by itself does not add to prosperity, unless young people are educated and new jobs are created. If we fail to generate employment and equip the youth with good quality education and skills, India's demographic dividend could become a demographic liability.

The history of economic development clearly demonstrates that development of non-farm sector is tied to modernization of agriculture and its improved productivity. The increasing application of modern technology also frees labour to move to urban areas for gainful employment in non-farm sector.

In this background, employment growth accelerated to 2.6 per cent during 1999-2005 but the average daily status unemployment rate increased further to 8.3 per cent in 2004-05 as more persons entered market-seeking employment. This trend continues.

The need is to prepare the youth with such education (we have more than 300 million illiterate children adding to the enormity of the problem) that would help them acquire vocational skills and mastery over new technology, including internet. This would make the youth employable in the job-market and also help those who want to work on their own.

In addition, there is an imperative requirement to pay special attention to generation of employment opportunities in agriculture, expand area of coverage of rural employment guarantee schemes, accelerate the pace of implementation of Bharat Nirman schemes and several other programmes. Similarly, it would be essential to encourage private sector partnership and support movement of self-help groups and micro-financing institutions.

### **Employment & Regional Diversity**

Abraham Lincoln stated in the House Divided speech that 'the United States could not endure half slave and half free. It would become all one thing or all the other – all free or all slave.' We are at a level of economic development where India's southern and western states have enormously developed in economic and educational terms while the northern and eastern states are lagging behind. The level of frustration on account of this disparity is becoming evident in the spread of naxalism and insurgency. India cannot have for long time co-existence between California and Sudan for either we will have all California or all Sudan. It is true that the nation-state is deeply concerned about this phenomenon but it is only through the quality of governance in northern and eastern states combined with high level of investment that regional disparity could be bridged. Generation of employment among the youth in rural areas in northern and eastern States could be the catalyst.<sup>7</sup>



## **Delivery of Services**

The principal feature of the scheme of effective delivery of services needs to be seen in the context of the fact that demands have to flow from the bottom up and not the top down.

It is true that both the Government of India and the State Governments have been allocating a fairly good size of public funds to health and education. A closer scrutiny of as to whom these facilities reach has revealed that public spending on health and education is typically enjoyed more by the non-poor. The schools and health centres in areas where poor live are often dysfunctional and extremely low in technical quality.

The three institutions which have played remarkable roles in improving public service delivery in India are: (i) the judiciary; (ii) the media; and (iii) the civil society.

The independent character of the judiciary that the constitutional architecture has carefully provided for has been of immense help. The judiciary has intervened meaningfully to correct failures in service delivery by the executive. Public Interest Litigation (PIL) has emerged as a powerful tool in the hands of individuals as well as nongovernmental organizations (NGOs). In recent years, the High Courts and the Supreme Court have intervened in diverse matters to improve delivery of services, ranging from grant of pensions to superannuated officials to supply of foodgrains to individuals from public distribution networks. Unfortunately, the judiciary is saddled with millions of pending cases and is slow in delivering judgments. The nexus between lawyers, court staff and litigants often ensures that most cases get prolonged through the method of seeking adjournments. There are also no time limits for case disposals.

The media, both electronic and print, have emerged as a source of pressure for change. It has brought to the fore aspirations of the common people, which in turn has exerted enormous pressure on public officials to deliver goods.

The emergence of a large number of non-governmental organizations in different fields ranging from environment to culture to education have become institutions that bring forward the concerns of the public with a degree of regularity.

Along with micro-financing institutions, the self-help groups (SHG's) are emerging as institutions of social capital. SHG's have moved beyond credit and are doing commendable work in areas of marketing of commodities, distribution of age-old pensions, works related to community-based food security, dairy development and the like.

The examples of application of information and communication technology to redressal of popular grievances have become matters of nation wide debate.



## **Administrative Responses**

The Indian administrative scene is marked by few successful innovations and practices in public service delivery and a large number of pathetic performances.

The general weakness of accountability mechanisms is an impediment to improving services across the board. Bureaucratic complexities and procedures make it difficult for a citizen as well as the civil society to navigate the system for timely and quality delivery of services. The lack of transparency and secrecy that have been associated with the administrative system from colonial times, besides generating corruption, has also led to injustice and favouritism.

The frequent transfer of key civil servants has enormously contributed to failures in delivery of services. In some states, the average tenure of a District Magistrate is less than one year. Development projects have also suffered as a result of frequent changes in project directors.

Another important factor in delivery of services relates to the role of political leadership. In a State where the Chief Minister has been reform oriented, it has invariably resulted in better delivery of services. Similarly, bipartisan consensus across party lines on delivery of services too has helped enormously. Stable governments with clear majority in the State assembly too have contributed to better service delivery.

The political realities vary from state to state and from time to time. Stable governments with a clear majority in the State Assembly are always better positioned to carry out the vision of the Chief Minister than fragile coalition governments which are required to make compromises to remain in power almost on a daily basis.

My own experience has shown that when the political leadership granted key civil servants direct access, it was possible to resolve issues that might have got complicated due to factional interest of political leaders at the grass-root levels or through conflicting circulars of the State Government. Public signaling of support by the state leadership always helps civil servants reach the poor people by ignoring political interferences that are aimed at securing individuals or group interests of comparatively better off people in the society.

It is common knowledge that people seeking access to healthcare or livelihood facilities are required to pay several visits to multiple government offices located in different parts of the district headquarters. In recent years, several States have harnessed information technology to make it easier for citizens to interact with the authorities. Karnataka, for example, has made available land records for some 20 million farmers by placing them online under its Bhoomi Initiative. The public distribution system, admission to schools, health records of citizens are all amenable to information technology applications and that in turn will make delivery of services much better.



The individual initiative and commitment of a Project Director or a District Magistrate is crucial not only to innovation and application of new methods in delivery of services but to overall image of administration and in its responsiveness towards the needs of the people. The message is clear that when properly empowered by political leadership, a Project Director or a District Magistrate can be transformed into an effective instrument not only for innovation in service delivery but also for its quality and delivery on time.

## **Capacity Building**

Capacity building at all levels of an organization is widely perceived as the most important approach to achieve quality of services and customer's satisfaction.

In a federal democracy, decentralization of power is viewed as necessary to empower people in rural and urban areas to improve their lot. The empowerment of the local levels of administration would foster confidence and enable more individuals even outside the bureaucracy to come forward to handle community needs and enhance public good effectively without hesitancy or the need of approval by higher level authorities.

The concept of capacity building in public administration heavily relies upon professionalism of the civil service. There is increasing awareness about the low level of professional quality of public servants employed in districts and in rural areas. Resistance to the capacity building programme comes from the staff as well as from the supervisor. People normally do not like change. There is also a myth that capacity building means bigger work-loads. Resistance also comes from supervisors and managers who often perceive that staff capacity building would lead to reduction of their own powers.

The most crucial element in capacity building is leadership. Good leadership aimed at improvement of organizational culture is integral to capacity building.

Capacity building does not mean that the staff is free to define what they will do – when, where and how. This is obviously wrong. Capacity building demands staff to behave responsibly and produce desired and agreed upon results. It means a collegiate effort in which an individual or an organization could be made accountable and responsible for any action that they take.

Access to information, participation, innovation and accountability are needed to build an environment for capacity building. In traditional organizations, information is the preserve of higher level bureaucracy. This system needs to be broken to allow people to get whatever information they need to perform their task. The staff should be encouraged to actively participate in the task of the group.



## IV

### **Other Major Challenges to Good Governance**

At the obvious risk of generalization, I would like to refer to criminalization of politics and corruption as major challenges to good governance.

#### **Criminalisation of Politics**

The Criminalisation of the political process and the unholy nexus between politicians, civil servants, and business houses are having a baneful influence on public policy formulation and governance. Political class as such is losing respect.

The Indian State is facing a serious challenge to its authority from lawless elements. The jihadi terrorism in Jammu & Kashmir and its ad hoc but frequent spread to other parts of India, the insurgency in the North-East, and rapidly expanding base of naxalite movement in mainland India constitute grave challenge to democratic governance. Fortunately, one sees national consensus against jihadi terrorism and it is for the Indian State to deal firmly with this menace. Insurgency in India's North-East is largely confined now to Nagaland, Manipur and Assam and these are being tackled by democratically elected state governments with full support from the Centre. Of late, one sees a political resolve to deal with naxalites as well. Dialogue process alone would provide the final answer but in every eventuality the State has to be continually firm in order that it discharges its basic responsibility of protecting life and property of its citizens.

The more insidious threat to India's democratic governance is from criminals and musclemen who are entering into state legislative assemblies and national Parliament in sizeable numbers. A political culture seems to be taking roots in which membership of state legislatures and Parliament are viewed as offices for seeking private gain and for making money. Such elements have also found place in Council of Ministers and a Prime Minister or a Chief Minister in an era of coalition politics can not take strong action for that might lead to the fall of the government itself. The Gandhian values of simple living and self-less service to public causes are rapidly vanishing. The dictum that 'howsoever high, the law is above you' is sought to be replaced by rule of men.

It is true that public is not a mute spectator to this phenomenon nor is the media. The process of judicial accountability has succeeded in sending several legislators and ministers to jail. But new methods have also been devised to fiddle away with the processes of law. Criminals facing prosecution get out on bail and even go scot-free. During the period of consideration of their bail petition as well as trial, the doctor invariably finds a serious ailment that enables the accused to escape discomforts of jail by admitting himself in a 5-star hospital.



The question staring all of us is how to close the gate of the portals of democracy for criminals. At the behest of the Election Commission, the Indian Parliament has enacted certain laws that makes it obligatory on the candidate contesting an election for Parliament or State Assembly to declare as to whether he is accused for any offence punishable under law for two years or more, for which charges have been framed. Candidates would also have to disclose whether he has been convicted for any offence in which the punishment has been awarded for one year or more for the information of the voter. All these have created a favourable environment for curbing criminalization of politics. But it is necessary to move further to debar criminals from contesting elections. It is imperative, therefore, to amend Section 8 of the Representation of the People's Act 1951 to disqualify a person against whom the competent judicial authority has framed charges that relate to grave and heinous offences and corruption.

It is one of the marvels of parliamentary democracy in India that notwithstanding entry of criminal elements in the Lok Sabha and in Vidhan Sabhas we have a Prime Minister of high integrity and scholarship and several Chief Ministers whose honesty is beyond any iota of doubt. Would this category of persons among political leaders transcend narrow loyalties and cleanse the political class of criminal elements?

### **Corruption**

The high level of corruption in India has been widely perceived as a major obstacle in improving the quality of governance. While human greed is obviously a driver of corruption, it is the structural incentives and poor enforcement system to punish the corrupt that have contributed to the rising curve of graft in India. The complex and non-transparent system of command and control, monopoly of the government as a service provider, underdeveloped legal framework, lack of information and weak notion of citizens' rights have provided incentives for corruption in India.

A conscious programme for strengthening of public awareness and also empowering the existing anti-corruption agencies would be required. The statutory right to information has been one of the most significant reforms in public administration. The Right to Information Act provides a strong national framework within which public awareness programmes could take place. Corruption takes place within a frame. Accordingly, basic reforms in file management, government rules and regulations, provision of public expenditure review could provide the concerned citizens the relevant knowledge to hold service providers accountable. This would ensure that the resources that belong to people are used in the right way.

One of the recent source of corruption at political level relates to schemes of MPLADS and MLALADS and these need to be abolished. In any case these are non-legislative functions.



## **Corruption and Electoral Reforms**

The hitherto laissez-faire system of funding of elections is the biggest countervailing factor in the emergence of democratic India as an honest state.

It is widely agreed that state funding of elections/parties will provide a certain degree of financial independence to parties and their candidates and that in turn will help reduce the incentives to raise party/election funds through corrupt means. Public financing holds great promise because it levels the playing field and gives candidates an incentive to accept spending limits. With public financing, poorer candidates can challenge well-funded ones, enlivening the debate and opening up the system. Public financing should be accompanied by free media space.

The state funding of elections regime should be accompanied by strict accounting procedures including rules to internally democratise parties. All these will improve the image of political parties in the eyes of the public and help create a virtuous cycle of democratic competition within political parties for election nominations in which candidates exposed to be corrupt can expect to be weeded out over time. It will also encourage honest persons from various walks of life to join the electoral battlefield.

The state funding of elections in India would also go a long way in reducing the clout of religious, ethnic and some business houses on the government.



## V

### Overview

Religion and culture play an important role in social cohesion. The religious attitude of tolerance and peace and cultural values of pluralism are conducive to good governance. And yet there is no casual relationship between religion and democracy. For democracy does not belong to any faith. Equally, no particular faith is synonymous with democracy. A look at South Asian scene would reveal that Islam did not make Pakistan a natural democracy; nor did Hinduism turn Nepal into one. Buddhism has not ensured democracy in Burma. Indian democracy is a product of freedom movement which gave primacy to values of pluralism and equal treatment to people of different faiths and ethnic backgrounds. The constitution guarantees, the judiciary upholds it and the leadership believes in this value system.

India's democracy is at the centre of governance architecture. It creates opportunities, sustains leadership and generates hope. Good governance being central to the Indian democratic experience could be seen more clearly when we look at what is happening in our part of the world. Pakistan is making experiment with various forms of governance, democracy as well as military dictatorship, and merely succeeding in saving the nation-state from being a failed one. The Bangladesh Army seeks similar justification in managing and calibrating the transition to democracy, as does the Gayoom regime in the Maldives. In Sri Lanka, notwithstanding high rates of literacy and economic growth through decades-old democracy, it has not been able to secure cooperation of the Tamil minority, with the result that democracy thrives side by side with a bloody civil war. In Nepal, democratic institutions which have been undergoing serious strain under the Maoist threat are trying to resurrect under a fledgling inclusive republican order.

The major shifts in India's national value system made impact both on the nitty gritty of administration as well as the intellectual build up of the civil service, the police and the judiciary. This is not the occasion to analyse how it came in the way of India's successes and failures in the social, economic and political domains, but whenever there is a major shift in political discourse governance gets affected both in its content and emphasis.

The shift in national values corresponded with new democratic experiences and change in regional and global environment. The geography of nationalism got restricted with partition in 1947 itself. The meaning and context of nationalism and non-alignment underwent major transformation on account of the Chinese perfidy in 1962. The reassertion of democracy became evident during 1975-77. India shifted from the commanding heights of the public sector economy policy and slowly opted for integration of markets and moved on the path of capitalism beginning from 1991. It is true that capitalism is not the accepted creed of the Indian nation-state. In an era of coalition governments, the national government has had to use ingenuous methods to push economic reforms to usher in rapid economic growth. This is also true of foreign



policy arena. For our purpose, it suffices to say that the concept of good governance though in vogue all the world over, the Indian product has its own special features and flavour. In an era of shift in values, governance is marked by trial and error and new rules of the game are getting formulated as we move along.

It is being widely appreciated that good governance is dependant not merely upon good policy advises but more importantly on the processes and incentives to design and implement good policies themselves. Dysfunctional and ineffective public institutions are increasingly seen to be at the heart of the economic development challenge. Misguided resource allocations, excessive government interventions, and widespread corruption have helped in perpetuation of poverty. The weak institutions of governance make an adverse impact on service delivery. Poverty reduction depends on improvements in the quality and timely delivery of services to poor people of basic education, health, potable water and other social and infrastructure requirements.

The major challenge is to put in place institutional arrangements for service delivery that are workable in a particular district or a region and are made to function in a manner that are intelligible to the local people and that also encourages them to participate. Such institutions would be responsive to the citizenry and reasonably efficient in the delivery of public services.

Scholars as well as administrators agree that participation of civil society in decision-making, public sector capacity building and rule of law are essential for quality and timely delivery of services.

The concept and practice of good governance in a country demands that there should be constructive mechanisms and procedures that will enable the three principal actors – government, market and civil society – to play in concert and to supplement each other's capability.

The working of all governments at the Centre and in the States has clearly revealed the existence of powerful interest groups who have a strong vested interest in preserving the status quo. This comes in the way of government becoming the effective agent of change and guarantor of social justice. The entrenched power group always resists attempts to alter the status quo and that too in favour of disadvantaged and poor. The poor are largely unorganized and cannot be mobilized easily because of their large numbers. The leadership at various levels placed in the task of striking a balance between the demands of the powerful interest groups and voiceless poor have rarely gone against the powerful.

There is no doubt that market has better delivery of services. Moreover, in a competitive environment, the market can be both cheaper and more effective than the government in providing certain types of services. However, the markets, controlled as it is by businessmen, operate for profits and the poor have little or no voice in the regulation of its operations. Thus, the failure of the government and the profit motive of



the market have led to distorted developments in which the rich have become richer and the poor poorer.

Market is an integral part of social order but the truth is that principles of market cannot be allowed to govern society and polity. Accordingly, no democratic government can leave market uncontrolled and free from regulations.

The poor are poor of course because of historical inequities but also on account of failure of the State to empower them adequately to get their entitlements. Democratic governance demands that the State can not for long serve the demands of the rich and organized sectors of the society and ignore the dalits, the minorities and the women because they are unorganized and poor.

It is true that despite security of tenure the permanent services including the IAS, IPS and the IFS are marked by decline in idealism of early years of the Republic. It is no denying that if political leadership become corrupt or apathetic to good governance, the permanent services may not remain idealistic or efficient for long. And yet the senior leadership of the All India and Central Services need to look within and develop themselves professionally and in ethical terms to fulfil the ambition of the new generation to build a strong India. How and whether the services would rise to this challenge needs to be both posed and watched?

Placed in these circumstances, a multi-sectoral approach to governance that serves the cause of growth as well as equity alone can help in achieving the goal of good governance. It is precisely here that NGOs, self-help groups, womens' groups, legal assistance organizations and several other civil society instruments can play an influential role. In fact, most of these organizations are addressing specific concerns and know the ground realities. These organizations are at the centre where they frequently interact with the government and the market. Just as the government regulates the market from committing misuses that are detrimental to society as a whole, the role of the civil society is to ensure that government is not only accountable and responsive to the citizens but it also performs its essential role as the guarantor of social justice. In the emerging multi-faceted nature of governance, the civil society institutions can play a constructive role not only in harnessing the resources of the government but also in tapping the structure and resources of the market to give a fair deal to the people, and in creating an environment where sustainable development takes place.

Fortunately, one clearly sees the determination of national and several state governments to provide a safety net at the bottom of economic pyramid. The middle class is a major beneficiary of new economic initiatives in the post-permit, licence, quota raj. The need to awaken social consciousness of captains of industry too is being increasingly addressed. The need to accelerate the pace of these changes is obvious.



## VI

### Concluding Remarks

A major shift from or even collapse of core values of freedom movement are making adverse impact on institutions of the republic and functioning of government.

The new Indian republic was not always market friendly. It was expected that the state shall supersede the market by generating a system of control so that it produced a result that it would not have produced itself. In practice it degenerated into ‘licence-permit raj’ and ‘inspector raj’.

We are entering into an era of capitalist innovation. It leaves a lot of people out and the market laws even threaten to dominate natural environment. But as luck would have it, fear of losing control of the circumstances and routines of one’s daily life and growing inequity is bringing the State back. Fear of terrorism too has contributed to the view for strengthening of the nation-state.

Although a return of ‘licence-permit’ era is ruled out for ever as we are getting increasingly linked to the global market, good governance that people need in order to improve their lives depends, in a larger measure, on government activities and approaches. In this backdrop, India’s democratic institutions are required to address the following areas of concern energetically:

- State-sponsored development programmes must aim at reduction in poverty and improvement in productivity levels of workers. Towards these, poor people need to be directly involved.
- Public Expenditure Review meets should be organized periodically at village, sub-district and district levels to ensure proper utilization of funds and ownership of development programmes by the people.
- Civil service should be given clear responsibility for delivery of services in respect of approved schemes and held accountable.
- One third of seats in Assemblies and Parliament should be reserved for women.
- Persons chargesheeted by a competent court for heinous offences and corrupt practices should be debarred from contesting elections.
- Partial State funding of elections should be commenced urgently.
- MPLADS and MLALADS schemes should be abolished.

The quality of democracy and the commitment and caliber of public servants both in the executive and in the judiciary would determine the outcome of the country’s performance in key areas – empowerment, employment and effective delivery of services.

The instruments of the State and the civil society need to be guided by the Talisman that Mahatma Gandhi prescribed for social, political and religious leadership of



independent India in August 1947. It reads: *“I will give you a talisman. Whenever you are in doubt, or when the self becomes too much with you, apply the following test. Recall the face of the poorest and the weakest man whom you may have seen, and ask yourself if the step you contemplate is going to be of any use to him. Will he gain anything by it? Will it restore him to a control over his own life and destiny? In other words, will it lead to swaraj for the hungry and spiritually starving millions? Then you will find your doubts and yourself melting away.”*<sup>8</sup> This is relevant today as well, as in the name of rapid economic growth policy decisions are increasingly being taken giving regard to the interest of the market and big business. Could we reverse this process to give primacy to the principles of ‘*antodaya*’ without sacrificing growth? If that happens, good governance could be better ensured. Such governance under a sensitive leadership could provide capacity to build our inclusive polity and a future full of possibilities for everyone.

In the post Gandhi-Nehru era, the involvement of civil society in governance has become crucial. Civil groups like NGO’s, women’s groups, trade unions, cooperatives, guilds, faith organizations are all essential to buildings of inclusive growth. Without the involvement of the people, without their voices, without their participation and representation, a programme can only be implemented mechanically. Today, we need innovators in two areas in particular: women and livelihood programmes.

Women are key to good governance. Their increasing representation in democratic institutions have provided stability to Indian polity. Women can bring constructive, creative and sustainable solutions to the table. Women participation in economic programmes needs to be augmented for in women we get expendable providers, educators, caretakers and leaders.

Second relates to livelihood. Livelihood does not only mean factory jobs. It should relate to social economy and local resources as well. It should also mean upgrading of existing and traditional skills that people have possessed from time immemorial in agriculture, in animal husbandry, in fishing, in textiles and so on. Investment in upgradation of such skills would lead to harmonious relationships with nature. My own experience tells me that when you provide productive work on a regular basis to a couple, their children would automatically go to schools and shall refuse to entertain persuasions of naxalite and insurgent groups to indulge in violent acts. It is through work that a person can plan the way in which his ambition can be fulfilled. With regular work life is no longer just about survival, but about investing in a better future for the children. Above all, when one has regular work, there is incentive to maintain a stable society.

In view of deep-rooted social and economic inequities of centuries, India can not blindly follow capitalist model of growth that puts excessive reliance on market forces. For such a model would fail to provide stability to Indian polity. And yet rapid economic growth is essential to meet aspirations of the Indian youth. Placed in these circumstances, the innovators have to devise ways and means that secures both fast growth and an approach that combines Gandhian ethics with democratic temper.



Innovations are taking place in the government, in the market and in the civil society. Social and political processes are getting increasingly interlinked changing the character of the elites in the countryside. In the process the high caste elites of 1950's have increasingly yielded space to intermediate caste landholders and businessmen and also holders of administrative and political offices. The nature and content of good governance would undergo changes in tune with rising expectations and fresh demands of the people. Democratic governance would expect and secure from its leadership to be alive to such aspirations and to continually tune institutions of polity to be effective instruments of citizens' welfare.

One is aware that 'million mutinies' are taking place almost on a daily basis in the country. The need is to go for 'million negotiations' that would ensure that government, market and civil society work together for the poor.



## Notes

<sup>1</sup> Several foreign and Indian scholars have expanded the theory of the state and the role of the government. Besides works of classical thinkers like Plato, Aristotle and Kautilaya, the works of the following are extremely relevant:

- i) T.H. Green, (*Lectures on the Principles of Political Obligation*, pp. 93-141, Longmans, 1921.)
- ii) H.J. Laski, (*A Grammar of Politics*, Ch. II, Allen & Unwin, 5<sup>th</sup> ed., 1952).
- iii) A.R. Marriott, (*Second Chambers*, Oxford, 2<sup>nd</sup> ed., 1927)
- iv) H. Finer, (*The Theory and Practice of Modern Government*, Vol.I, Pt.IV, Methuen, 1932).
- v) K.C. Wheare, (*Federal Government*, Oxford, 5<sup>th</sup> ed., 1953).
- vi) T. Hobbes, (*Leviathan*, Ch.XiX, Everyman Library, Kent).
- vii) J. Locke, (*Of Civil Government*, Ch.X in Social Contract, 'World's Classics' No. 511, Oxford).
- viii) J.J. Rousseau, (*The Social Contract*, Bk.III, Ch.iii to viii, in Social Contract, 'World's Classics', No. 511, Oxford).
- ix) G.D.H. and Margaret Cole, (*A Guide to Modern Politics*, Gollanez, 1934).
- x) Ivor Jennings, (*Cabinet Government*, Cambridge University Press, Cambridge, 1951.)
- xi) D.D. Basu, (*Commentary on the Constitution of India*, 2 Vols., S.C. Sarkar and Sons Ltd., Calcutta, 1955-56.)
- xii) Granville G. Austin, (*The Indian Constitution: Cornerstone of a Nation*, Clarendon Press, Oxford, 1966).
- xiii) Rajni Kothari, (*Politics in India*, Orient Longman Ltd., New Delhi, 1970 and *Rethinking Democracy*, Orient Longman Ltd., New Delhi, 2005).
- xiv) Lloyd Rudolph and Suzanne Hoeber Rudolph, (*In Pursuit of Lakshmi*, University of Chicago Press, Chicago, 1987.)
- xv) Partha Chatterjee, (*Nationalist thought and the Colonial World: A Derivative Discourse*, Zed Books for the U N University, 1986).
- xvi) Francine Frankel, Zoya Hasan, Rajeev Bhargava, and Balveer Arora (eds.), (*Transforming India: Social and Political Dynamics of Democracy*, Oxford University Press, New Delhi, 2000).
- xvii) Devesh Kapur and Pratap Bhanu Mehta (eds.), (*Public Institutions in India: Performance and Design*, Oxford University Press, New Delhi, 2005).
- xviii) Amartya Sen, (*Identity and Violence: The Illusion of Destiny*, Allen Lane an imprint of Penguin Books, London, 2006).
- xix) M.P. Singh and Rekha Saxena, (*Indian Politics: Contemporary Issues and Concerns*, Prentice-Hall of India, New Delhi, 2008, Eastern Economy Edition).

<sup>2</sup> See Policy Research working paper 2196 entitled 'Governance Matters' by Daniel Kaufman, Aart Kraay, Pablo Zoido-Lobaton, The World Bank, 1818 H Street NW, Washington DC, 1999, pg.1.

<sup>3</sup> Reflecting this position, the Commission on Global Governance defines governance as follows:

"Governance is the sum of the many ways individuals and institutions, public and private, manage their common affairs. It is continuing process through which conflicting or diverse interests may be accommodated and cooperative action may be taken. It includes formal institutions and regimes empowered to enforce compliance, as well as informal arrangements that people and institutions either have agreed to or perceive to be in their interest."

It goes on to explain:

"Examples of governance at the local level include a neighbourhood co-operative formed to install and maintain a standing water pipe, a town council operating a waste recycling scheme, a multi-urban body developing an integrated transport plan together with user groups, a stock exchange regulating itself with national government oversight, and a



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regional initiative of state agencies, industrial groups, and residents to control deforestation. At the global level, governance has been viewed primarily as intergovernmental relationships, but it must now be understood as also involving non-governmental organizations (NGOs), citizens' movements, multinational corporations, and the global capital market. Interacting with these are global mass media or dramatically enlarged influence."

(See *Our Global Neighbourhood* – The Report of the Commission on Global Governance, Oxford University Press, New York, 1995, pp. 2-3. )

<sup>4</sup> Over 250 clauses of the Constitution were lifted from the Government of India Act of 1935. In the aftermath of partition the main objective became territorial integrity and internal security. See G. Austin, *The Indian Constitution: The Cornerstone of a Nation*, OUP, New Delhi, 1966, for detailed analysis.

<sup>5</sup> See AIR 1973 SC 1461

<sup>6</sup> See 'Judicial Activism versus Judicial Overreach' in Times of India, 12.12.2007, New Delhi, and a series of three articles entitled 'Has judicial activism become excessive?' in Indian Express, 18.12.2007, New Delhi.

<sup>7</sup> See Manmohan Singh, Prime Minister of India's article entitled '*We're off to a good start*' in The Times of India, New Delhi, dated 25.10.2007. The relevant portion reads as follows:

"There isn't any lack of thinking on what needs to be done to sustain and further accelerate growth. There is also fairly wide recognition of the importance of this agenda. However, given the nature of competitive politics and the very fractured mandates given to governments, it has become difficult sometimes for us to do what is manifestly obvious."

<sup>8</sup> The signature of Mahatma Gandhi on the text is in the Devnagari and Bengali scripts. As regards the date, no specific date is given, but August 1947 is written.



Dubrovnik-Croatia  
23-24 avril 2008

**Intervention de Monsieur Zouhaïer M'dhaffar,  
Ministre délégué auprès du Premier Ministre chargé de  
la fonction publique et du développement  
administratif**

**Monsieur le Président,  
Messieurs les Ministres,  
Mesdames et Messieurs,**

Je voudrais tout d'abord exprimer mes remerciements les plus sincères au gouvernement de la République de Croatie et à l'organisation des Nations Unies pour la précieuse opportunité qu'ils m'offrent ainsi qu'à la délégation qui m'accompagne de prendre part à cette importante rencontre consacrée au thème de **"l'innovation de la gouvernance publique dans la région euro-méditerranéenne"**.

Je voudrais à cette occasion féliciter le département des affaires économiques et sociales -**UNDESA**- et à sa tête son directeur mon ami Guido Bertucci et son équipe pour toute la



dynamique créée autour du programme Innovmed lancé depuis 2003 avec le précieux soutien du gouvernement italien.

J'ai personnellement suivi avec beaucoup d'intérêt les différentes étapes de mise en place et d'institutionnalisation du réseau méditerranéen d'innovation administrative depuis la réunion de Tunis au mois de juin 2005. Je me réjouis que notre rencontre qui se situe dans la continuité de celles organisées à Marseille en 2006, à Rabat et à Vienne en 2007 soit consacrée aux aspects méthodologiques liés au transfert des bonnes pratiques innovantes, ce qui enfin de compte intéresse de près les usagers que les administrations publiques ont vocation à servir.

Je vais tenter dans le temps qui m'est imparti de répondre en me basant sur l'expérience tunisienne à la question principale posée dans le cadre de cette première séance plénière: **Comment promouvoir une culture d'innovation dans nos différents pays et par conséquent dans notre région méditerranéenne?**

Je dois dire au départ que l'innovation des pratiques administratives n'est ni spontanée ni évidente. Les innovateurs au sein de l'administration publique doivent mener un combat de



tous les jours pour convaincre les scepticismes et neutraliser les résistances au changement. J'ai pu constater dans l'exercice de mes fonctions actuelles et depuis maintenant plus de trois ans à quel point le souci de maintenir les choses dans **"l'ordre bien établi"** est de nature à bloquer les initiatives innovantes.

Je me rappelle de la première fois où nous avons évoqué la possibilité de sortir l'administration de ses bâtiments et de créer au sein des hypermarchés des **"points d'administration rapide"**, tout le monde s'est dressé spontanément contre l'idée. Et pourtant cette idée vient d'être reconnue mondialement et elle vient de recevoir le prix des Nations Unies du service public pour l'année 2008.

C'est pourquoi je considère pour ma part que la culture d'innovation est d'abord un état d'esprit. C'est aussi une attitude positive qui favorise la recherche au quotidien d'opportunités de **"mieux faire"**. C'est surtout un système de règles non écrites qui déterminent les comportements des fonctionnaires et en particulier ceux des hauts fonctionnaires face aux impératifs du changement.



Conscient de l'importance cruciale du rôle de la haute fonction publique dans la diffusion d'une culture d'innovation dans l'administration publique, le Président de la République Tunisienne a décidé de créer un Institut de leadership Administratif destiné à promouvoir les connaissances et les pratiques innovantes dans les rangs des fonctionnaires seniors. L'institut a démarré le 9 novembre 2007 et permet à 25 chefs de cabinets, secrétaire général et directeurs généraux de se rencontrer régulièrement pour se ressourcer et partager leurs expériences dans le cadre d'un réseau. Ils présenteront à la fin de leur session au mois de juillet 2008 un rapport au Président de la République dans lequel ils soumettront des propositions concrètes visant à améliorer les services rendus par l'administration à son environnement. Pour cette première session, ce réseau de hauts fonctionnaires est appelé à réfléchir sur les innovations administratives qui permettent de simplifier le processus de création des entreprises.

Cet institut constitue aujourd'hui quelques mois après son démarrage un lieu privilégié de diffusion d'une nouvelle culture administrative orientée vers l'innovation dans la mesure où



plusieurs personnalités de notoriété internationale sont invitées à faire des conférences devant un auditoire élargi à l'ensemble de la haute fonction publique.

Dans le même ordre d'idée, le Président de la république a décidé l'organisation, à l'instar de ce qui se fait déjà pour les ambassadeurs de Tunisie à l'étranger et pour les gouverneurs, d'une conférence périodique des directeurs généraux de l'administration publique qui constitue un moment fort de passation de messages se rapportant au contenu et au rythme des actions de modernisation de l'administration publique.

**Monsieur le Président,**  
**Messieurs les Ministres,**  
**Mesdames et Messieurs,**

L'innovation de la gouvernance publique constitue un enjeu majeur pour nos sociétés aujourd'hui. C'est pour cette raison que la Tunisie à l'instar de plusieurs autres pays a inscrit la modernisation de l'administration publique dans son agenda de développement pour la prochaine décennie. Les axes de cette modernisation sont clairement définis dans le XIème plan de développement économique et social. Dans ce contexte, nous



pensons qu'il est important de créer un environnement pro-innovation pour donner un coup d'accélération au vaste programme de réformes économiques, sociales et politiques.

Les initiatives porteuses de changement positif doivent être institutionnellement soutenues et financièrement appuyées à tous les stades de la chaîne d'innovation depuis l'émergence de l'idée innovante jusqu'à la mise en œuvre de l'idée.

Il est important d'intégrer dans ce processus global des notions de "**retour sur investissement**". L'innovation dans tous les cas a un coût. Il est important qu'elle soit économiquement et socialement utile et qu'elle produise des effets mesurables. L'innovation doit se professionnaliser davantage. Elle ne doit pas être le produit d'un amateurisme administratif. C'est pourquoi nous pensons qu'il faudrait l'institutionnaliser. Il serait à mon avis utile que nous consacrons une prochaine rencontre dans le cadre du programme innovmed aux expériences des pays qui à l'instar de la Corée du Sud ont décidé de créer une structure chargée exclusivement de promouvoir la culture et la pratique de l'innovation dans l'administration publique. J'ai appris que la



Grèce à récemment créée un centre d'innovation administrative. Je suis persuadé que d'autres pays dans notre région euro-méditerranéenne ont eux aussi mis en place des structures dédiées à l'innovation. Il est important que les efforts déployés par ces structures pour diffuser la culture de l'innovation soient mieux connus.

Nous serons très heureux d'accueillir à Tunis une rencontre de ces centres d'innovation administrative et de déclencher ainsi une dynamique de partage et d'échanges de bonnes pratiques entre eux.

**Monsieur le Président,**  
**Messieurs les Ministres,**  
**Mesdames et Messieurs,**

Les technologies de l'information et de la communication ont transformé de façon radicale le monde du travail. L'accès à l'information est devenu instantané. Les distances n'ont plus la même signification dans un monde sans frontières. Les savoirs et les connaissances ont du moins sur le plan théorique la possibilité de circuler en toute liberté. La richesse se crée grâce au partage de l'information. De nouvelles valeurs professionnelles se



construisent dans la diversité et la multiculturalité. Les réseaux constituent désormais le vecteur par lequel sont véhiculées les nouvelles pratiques, les nouveaux reflexes et la nouvelle culture managériale. Le réseau Innovmed constitue une illustration parfaite de ce que pourrait être une organisation intelligente, flexible et ouverte au service de l'innovation administrative. Il est important que ce réseau soit renforcé, que ses activités soient diversifiées et soutenues. Son rôle dans la promotion d'une culture d'innovation de la gouvernance et de l'administration publique est crucial. Les résultats obtenus par ce réseau depuis son lancement sont fort encourageants.

Il est important que la déclaration de Dubrovnik que nous opterons à la fin de cette rencontre puisse apporter tout le soutien à ce réseau afin qu'il continue à assurer sa mission de promotion de la culture d'innovation administrative dans la région méditerranéenne dans le cadre d'un plan d'action volontariste qui permettra un transfert intelligent et adapté de certaines pratiques innovantes entre les pays méditerranéens.



Je peux affirmer sans aucun risque d'erreur que la région méditerranéenne enregistre aujourd'hui une forte demande d'innovation administrative. Il est indispensable que le réseau Innovmed crée des opportunités de rencontres qui permettent, grâce à une meilleure diffusion des **"bonnes pratiques administratives"** de répondre de façon réelle et crédible à cette demande. Permettez-moi de proposer dans ce cadre l'organisation d'un évènement périodique **"les rencontres méditerranéennes de l'innovation administrative"** qui pourrait constituer un moment fort de présentation pour les administrations des pays méditerranéens des expériences innovantes. Un concours peut être organisé et un trophée de l'innovation peut être décerné à cette occasion. Les innovations retenues pour participer au concours pourraient être consignées dans un **golden book** des innovateurs et des innovations en méditerranée.

Voici, mesdames et messieurs quelques pistes qui pourraient être explorées dans l'avenir de façon durable dans notre action.



Je voudrais avant de terminer renouveler mes remerciements les plus sincères à l'organisation des Nations Unies et en particulier à Monsieur Guido Bertucci et à son équipe qui continuent à s'investir avec passion pour nous permettre de nous réunir et d'échanger nos expériences.

Je vous remercie de votre attention et je vous donne rendez-vous à Tunis à une prochaine rencontre organisée par le réseau.