

# Ash Center for Democratic Governance and Innovation ■ Winter 2013 Volume 13

# Communiqué

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Tom Ashbrook, host of NPR's *On Point*, leads a live taping of the show discussing "Inequality vs. Democracy" with panelists Chrystia Freeland, Liberal Party Candidate for Canadian Parliament, Professor Martin Gilens, Princeton University, and HKS Professor Alex Keyssar at the John F. Kennedy Jr. Forum at Harvard Kennedy School

## Ash Center Launches Public Dialogue on Challenges to Democracy

On October 3, 2013, in commemoration of its tenth anniversary, the Ash Center launched Challenges to Democracy, a public dialogue series on the issues testing democracy in the United States.

Ten years ago, a generous gift from Roy and Lila Ash helped found the Ash Center for Democratic Governance and Innovation. The Ashes dedicated their lives to serving the public good in both business and government, as well as through extensive volunteer and philanthropic endeavors. Through these experiences, Roy Ash—founder of the modern US Office of Management and Budget—came to view democracy as “fragile and in need of real and constant hands-on care.”

Specifically, he and his wife wanted to support concentrated scholarly attention “to the nature, principles, functioning, and con-

tinued innovation and adaptations essential to a living and effective democracy.”

Today, our readers well know that democratic governance in the United States is being strained. Economic inequality threatens to undermine the principle of political equality upon which our country is founded. American democracy is also being challenged by the expansion of presidential power, immigration, threats to the principle of one-person/one-vote, political polarization, the risks and opportunities created by digital technologies, and by the decline of popular movements.

“Democratic governance in the United States is being tested on many fronts and this public dialogue is intended to focus on these very significant threats,” said Center Director Tony Saich, Daewoo Professor of

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The Roy and Lila Ash Center for Democratic Governance and Innovation advances excellence and innovation in governance and public policy through research, education, and public discussion. Three major programs support our mission: the Program on Democratic Governance; the Innovations in Government Program; and the Rajawali Foundation Institute for Asia. The Ford Foundation is a founding donor of the Center.



Professor Alex Keyssar and Chrystia Freeland



Tom Ashbrook, host of *On Point*



Professor Martin Gilens

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International Affairs. “In the spirit of Roy and Lila Ash, through Challenges to Democracy we will not simply name the greatest threats our democracy faces today, but will put forward and give due attention to the promising solutions we need.”

Saich and Ford Foundation Professor of Democracy and Citizenship Archon Fung will lead the series of high profile events including lectures, panel discussions, and book talks as well as film screenings, theater performances, and workshops. Challenges to Democracy will assemble the nation’s leaders in thought and in practice, from scholars and policymakers to public intellectuals, journalists, and artists, to broaden and deepen public dialogue around how we might preserve and adapt our democratic form of government.

The series will also seek to engage the public, inviting broad participation through community and cultural events, highlighting comments and ideas from readers and event participants, digital media, and other platforms for deliberation.

Challenges to Democracy was launched with a standing room-only JFK Jr. Forum event featuring a panel discussion moderated by radio host Tom Ashbrook on the threat economic inequality poses to the health of American democracy. The event was broadcast the next day as part of WBUR and NPR’s *On Point* radio program. Our guests were Chrystia Freeland, author of *Plutocrats*; Princeton Professor Martin Gilens; and Alex Keyssar, Matthew W. Stir-

ling Jr. Professor of History and Social Policy at Harvard Kennedy School.

Upcoming events include partnering with the American Repertory Theater (A.R.T.) on two theatrical performances. Following the October 12 performance of Robert Schenkkan’s “All The Way” was a discussion of the play, President Lyndon Johnson, and civil rights with Keyssar. Joining Keyssar was acclaimed actor Michael McKean, who played the role of Jay Edgar Hoover. In December, the Center will work with A.R.T. to host a discussion after a performance of “The Heart of Robin Hood” by David Farr.

In addition, the Center is partnering with the Harvard Film Archive to host a screening of the 1949 classic *All the King’s Men* on December 6. Accompanying the film will be a discussion on how politics has or has not changed in the last six decades and on the health of American democracy today. A retrospective film series is also in the works, tentatively featuring public discussions and screenings of films such as Frank Capra’s *Mr. Smith Goes to Washington* and *State of the Union*.

Challenges to Democracy will also feature more traditional academic events including our ongoing Democracy Seminar series led by Fung. Topics this fall included “Dollarocracy: How the Money and Media Election Complex Is Destroying America” and “Leading a Nation of Devils: How to Get Things Done in a Democracy.”

A November panel discussion featuring HKS faculty Tom Patterson, David King, and Fung addressed the executive’s relationship with the legislative branch in light of the recent federal government shutdown and narrowly avoided default. The panel delved into the complex issue of the shifting nature of power between the two branches, and asked how have different presidents, in relation to Congress, approached leadership and authority, and negotiation and compromise? The panel considered whether partisan brinkmanship is the new norm both in Congress and in the relationship between the president and Congress, and asked what is driving the current gridlock and where is the greatest potential for change?

Throughout the series, a blog will capture the best stories, ideas, and lessons of each event. The blog will also explore ways that American democracy is being tested, dig deeper into possible solutions, welcome guest posts, and highlight the frontiers of research on democratic governance from the Ash Center and beyond. The Challenges to Democracy website may be found at <http://bit.ly/1akua8s>.

Challenges to Democracy is intended to be a public dialogue. To that end, we welcome readers to submit ideas for future events, speakers, partners, and topics. We are excited to include the entire Ash Center community in commemorating our 10th anniversary, and in exploring a timely set of issues with relevance to us all.

## Strengthening Prospects for Democracy in Myanmar

In early October, Harvard Kennedy School Dean Ellwood joined a team from the Ash Center led by Director Saich on a trip to Myanmar to seek the views of policymakers and other stakeholders on how the School can continue to support Myanmar's development and transition through research, training, and dialogue. The Dean, Saich, and the Center's team—comprised of Senior Advisor Thomas Vallely, Vietnam Program Director Ben Wilkinson, and Executive Director Julian Chang—met with a number of prominent political figures including the speaker of the house, the minister in charge of peace negotiations with ethnic factions in the country, and the former minister of industry who is

now a close advisor to the president of Myanmar. In addition, the group met with Aung San Suu Kyi, the leader of the National League for Democracy (NLD) who was recognized in 1991 with the Nobel Peace Prize for her nonviolent work to promote democracy and human rights in the country.

Since her visit to Harvard in September 2012, during which she spoke at the John F. Kennedy Jr. Forum, Aung San Suu Kyi has continued her effort to work through the parliament to advance the NLD's policy priorities. She is deeply concerned with strengthening the rule of law in Myanmar, believes that Myanmar must transition to a form of federal government, and views the

development of more robust legal institutions, including an independent judiciary, as critical to improving public governance. When asked how the Ash Center could be most valuable to the country, Aung San Suu Kyi discussed the need for agricultural modernization and mechanization (as discussed in the Center's reports) and weaknesses in the area of human capital development, especially in education. Indeed, in the early 1950s, Rangoon University was considered the best in Southeast Asia. More generally, Burma was seen as the bright hope for development in the region due to its human capital infrastructure as well as its rich natural resources. As Saich regrettably observes, it is an "extraordinary achievement by the military junta that they were able to hold back development for 60 years."

In addition to meeting with the political elite, the Ash Center team felt it was imperative to also embark on field visits where they could meet with rural villagers and representatives from Myanmar's ethnic groups. Indeed, the Center's involvement in Myanmar began with a focus on the rural agricultural economy. In 2008, the Center was approached by Proximity Designs—a social enterprise organization based in Myanmar and founded by two HKS midcareer graduates—to undertake a series of policy studies. Proximity's extensive network—they have a presence in 10,000 villages around the country—has enabled the Center's research team to infuse its work with sensitivity to local conditions and needs. Since 2009, the team has produced over a dozen reports analyzing the political and economic conditions in Myanmar, and proposing specific reforms. These reports, primarily funded by the Royal Norwegian Government, may be accessed in their entirety by visiting <http://bit.ly/177clZK>.

The "Dry Zone" in central Myanmar covers large parts of the Magway and Mandalay divisions as well as the southern portion of Sagaing division. The zone covers an eighth of total area in Myanmar and a quarter of its population. It has long been well known for low rainfall, but recent droughts and irregular rainfall have made



A man harvests vegetation on Inle Lake in Myanmar



A farmer stands on his oxcart in the Shan State, Myanmar



Ash Center Director Saich meets with Aung San Suu Kyi in Myanmar





HKS Dean Ellwood operates an irrigation pump in Myanmar

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farming even more difficult. In addition, many traditional water storage practices have proven to be inadequate and there are seasonal shortages of drinking water for people and livestock. After traveling by oxcart, the Ash Center team met with villagers in a small town in the Dry Zone where there is no electricity and no clean water source. Proximity is currently working to dig a communal well to sustain the villagers through each year's dry period. In another village, Proximity has introduced low-cost foot pumps for irrigation as well as solar lights. For those farmers that cannot afford to pay for a pump, Proximity is now developing a microloan program. The villagers commented to the Dean and Saich that their income had risen significantly after the introduction of these technologies.

In contrast, the Shan State in the north is an area of rolling hills and generally ample rainfall. The state covers a quarter of the area of Myanmar and has a population estimated at nearly a tenth of the national total. Its main ethnic group is the Shan, but there are 10 other major ethnic groups in the state, some with semi-independent areas under their ethnic control. Rice, tea, fruits, and vegetables are grown. In addition, there are rich deposits of rubies, precious metals, lead, and zinc. In talks with the team from the Ash Center, ethnic leaders emphasized their

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## Research Brief

### Data-Smart City Solutions

One of the Ash Center's newest programs is Data-Smart City Solutions, an initiative researching all aspects of the use of data in local government, from open data to predictive analytics. Program Director Stephen Goldsmith, Daniel Paul Professor of Government at Harvard Kennedy School and director of the Center's Innovations in Government Program, hopes to catalyze the adoption of data-related projects in local government, and has created a website to serve as a central resource for government officials interested in this emerging field. Each week, the project highlights successful use cases and best practices on its website and social media presences.

"Cities need and now can secure new technologies that will allow public employees to find and solve problems, often before they even occur," said Goldsmith. "Big data, crowdsourcing, and other innovative technological solutions offer city officials a wealth of new resources for improving effectiveness, but the sheer volume of new tools available can be daunting. We have designed Data-Smart City Solutions to be a go-to resource as cities embrace all that technological innovation has to offer."

Data-Smart City Solutions highlights best practices, curates resources, and supports cities embarking on new data projects. The

initiative's website publishes numerous articles on how data drives innovation in different policy areas and offers resources for interested officials to begin data projects in their own communities. It also hosts guest posts from many city leaders working directly on data projects. Issue areas covered include civic engagement, open data, public safety, and urban infrastructure. Recent posts include a video interview about New York City's integrated social service data, an assessment of the emerging role of the Chief Data Officer, and an analysis of how new technology enables more efficient, sensor-driven dynamic pricing for parking. The Data-Smart City Solutions website may be found at [datasmart.ash.harvard.edu](http://datasmart.ash.harvard.edu).

Data-Smart City Solutions is funded by Bloomberg Philanthropies and the John D. and Catherine T. MacArthur Foundation and is an initiative of the Ash Center's Innovations in Government Program, which recognizes and promotes creative and effective problem-solving by governments and citizens. Other initiatives of the Program include the Innovations in American Government Awards, which recognizes and promotes excellence and creativity in the public sector, and Better, Faster, Cheaper, an online resource dedicated to presenting smart ideas that deliver greater public value and lower the cost of government services published on [Governing.com](http://Governing.com).

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desire for a revenue sharing plan with the central government to allow them to invest in roads, electricity, and better education. Currently, the government extracts much of the area's wealth with little direct benefit to the Shan State. There have been clashes over this and other issues for decades, although some ceasefire agreements are under varying stages of development.

To promote mutual understanding, the Dean and the Center have been asked to develop trainings that bring together Myanmar's various factions. While discussions

are still nascent, it is hoped that by training both leaders from the central government and the ethnic states in the concept of federalism and its demands, peace and democracy can be advanced in the country.

## Innovations in American Government Award Finalists Announced



In November, the Ash Center announced the finalists for this year's Innovations in American Government Award. These five programs represent innovations at the city, county, state, and federal levels of government and were selected from a pool of over 600 initial applicants after rigorous rounds of evaluation. The Innovations Award winner will be announced in late 2013.

Funded by the Ford Foundation, the Innovations in American Government Award Program identifies and promotes excellence in the public sector. Winners are chosen based on novelty, effectiveness, significance, and the degree to which their innovations can inspire replication in other government entities. Past winners offer unique solutions to a range of issues including economic opportunity, public health, education, juvenile justice, and environmental management. Many programs act as harbingers for reform, and often inform research and academic study around key policy areas both at Harvard Kennedy School and academic institutions worldwide.

"These finalists demonstrate the many ways innovative leaders build engaged, healthy, and safe communities through public-sector innovation," said Stephen Goldsmith, a past winner of the Innovations Award and current director of the Innovations in American Government Program. "We are pleased to recognize these innovative initiatives, and encourage other government entities to replicate their effective solutions to public problems."

This year's finalists are:

### Challenge.gov

General Services Administration

Challenge.gov is the federal government's online portal for running challenge and prize competitions. Challenges allow the government to crowdsource solutions to problems in a contest format, bringing diversity in solutions and contributors. This is a pay-for performance model that saves money on key initiatives and broadly drives innovation within and beyond government.

### Healthy Incentives

King County, WA

King County moderated its healthcare costs through incentivizing improved employee health and the use of higher quality health care. A benefit plan rewards employees with lower out-of-pocket expenses for choosing quality health care and participating in wellness activities, while work through a regional collaborative drives health care quality improvements.

### Mayor's Office of New Urban Mechanics

City of Boston, MA

The Mayor's Office of New Urban Mechanics (MONUM) offers an approach to civic innovation focused on delivering transformative city services to residents. MONUM focuses on a broad range of areas from increasing civic participation and improving city streets to boosting educational outcomes.

### Neighborhood Revitalization Initiative

Departments of Education, Justice, Health and Human Services, Housing and Urban Development, and Treasury

The Neighborhood Revitalization Initiative (NRI) is a federal strategy that aligns and targets efforts of the Departments of Education, Justice, Health and Human Services, Housing and Urban Development, and Treasury to revitalize the nation's most distressed neighborhoods. Through interventions addressing persistent crime, failing schools, crumbling housing, and health disparities, NRI tackles the interconnected causes of neighborhood distress.

### Smart Roadside Inspection System

State of New Mexico

The Smart Roadside Inspection System identifies high-risk trucks without interfering with the flow of commerce by integrating specialized roadside imaging systems with multiple back-end data networks that instantaneously synthesize disparate pools of data into valuable information.

The Innovations in American Government Awards was created by the Ford Foundation in 1985 in response to widespread pessimism and distrust in government's effectiveness. Since its inception, nearly 500 government innovations across all jurisdiction levels have been recognized and have collectively received more than \$20 million in grants to support dissemination efforts.



## Second Ash Center Report on Indonesia

Formerly an authoritarian state, Indonesia has made impressive gains since President Suharto's resignation in 1998 as the world's first majority Muslim, multiparty democracy. The country's successes and challenges as a new democracy were the subject of the Ash Center's 2010 report "From Reformasi to Institutional Transformation: A Strategic Assessment of Indonesia's Prospects for Growth, Equity, and Democratic Governance." A new report, also from the Center's HKS Indonesia Program, builds on the findings of the first to propose specific policies to achieve transformation in Indonesia. "The Sum Is Greater Than the Parts: Doubling Shared Prosperity in Indonesia Through Local and Global Integration" addresses the government of Indonesia's primary development objective, which is to join the ranks of upper middle-class income countries by 2025. The report's authors argue that current policies will keep this goal out of reach and that Indonesia will fall short in three fundamental dimensions: growth will be jobless, competitiveness will decline, and inequality will rise.

But there are reasons to be optimistic. As Jay Rosengard, faculty chair of the Ash Center's HKS Indonesia Program, notes, under Reformasi there are now direct elections of all levels of government, from the village chiefs up to the president—something that still eludes citizens of the US. And, as Indonesia approaches a season of presidential and parliamentary elections in 2014, it is hoped that the report's suggestions will be debated among candidates and that whoever is elected might find it a valuable resource in planning Indonesia's future. Harvard Kennedy School Dean Ellwood and Center Director Saich traveled to Jakarta in September to attend the report's launch event hosted by the Vice President's National Team for Accelerating Poverty Reduction. In addition to remarks made by the Dean and Saich, Emil Salim, an eminent Indonesian economist and former minister, and Deputy Trade Minister Bayu Krisnamurthy commented on the report's timeliness and relevance. The event was well attended by a



cross-section of academics, policymakers, research institutions, and the media, and was reported in media outlets including two of Indonesia's leading newspapers, the Jakarta Globe and Kompas. The report's authors hope when the Indonesian translation is published later this year its reach will extend to those outside the central government in Jakarta.

### Constraints on Indonesia's Future

The binding constraint to accelerating sustainable, inclusive growth is that Indonesia exploits neither the benefits of being a large country nor its international dynamic comparative advantage. Indonesia is beset by local economic fragmentation and global economic marginalization. The report observes that growth in the country is fueled by mostly raw material exports and natural resource extractions, which provide no significant added value. This results in jobless growth because most jobs are currently tied to variable commodity prices as opposed to more stable and expandable industries such as manufacturing. Further, strengthening the manufacturing industry would allow the country to become more competitive by plugging into the global supply chain.

So, at present, "the sum is worth less than the parts." And, instead of just measuring Indonesia's growth by quantifying it, the authors further ask "What is the quality of Indonesia's growth; is it sustainable and equitable?" In measuring growth not just by looking at GDP, but also by looking at GDP per capita, it becomes clear that the gap between rich and poor in the country is growing. The report also assesses inequality by comparing incomes and societal well-being for urban and rural populations, for Java and the outer islands, and for men and women. In all of these areas, the gaps are widening.

### Three Paths Forward

Saich notes that while the findings are discouraging, the Center's analysis and recommendations reflect a cautiously optimistic view that the report's recommendations are achievable, even in Indonesia's current challenging political landscape. The authors assert that the nation has a choice of three future development paths: reactive, proactive, and transformative. Reactive best describes the government's current approach of "muddling through"; proactive refers to policies pursued in response to major crises such as the widespread malnutrition and rural poverty in the 1960s and the

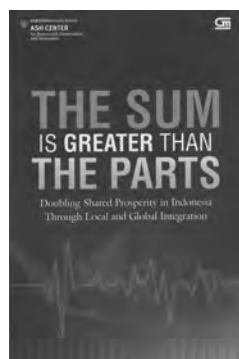
collapse of oil prices in the 1980s; and transformative, or fundamental metamorphosis, characterizes the policies that enabled the “Four Asian Tigers” (Hong Kong, Singapore, South Korea, and Taiwan) to become high-income nations. In the report’s preface, Saich puts forth its primary recommendations: “The key to both local and global integration is the same: greater investment in enabling hard infrastructure such as roads, ports, and power; improved soft infrastructure in the form of better government and governance; and development of human resources through more effective education and training.”

The report offers in-depth recommendations for each element of this three-pronged approach and includes a chapter that addresses the political economy in Indonesia, i.e., how to get things done. Finally, the report concludes “None of the difficulties

the GOI [Government of Indonesia] will face in promoting and sustaining the reforms needed to achieve rapid and inclusive growth is insurmountable. The key challenge will be to seriously pursue robust, sustained economic reform in

the interests of the whole population rather than particular individuals or select groups.”

While the report was written by the research team at the Ash Center, led by Center Director Saich, it is important to note that the research process was designed to be consultative and included roundtable discussions with leading policymakers and academics in Indonesia, as well as field visits outside of Jakarta. This approach helped insure inclusivity when establishing the findings of the report and defining its recommendations. Please visit [ash.harvard.edu](http://ash.harvard.edu) to read the report.



## Sino-US Training Program in Social Innovation

This year, the Ash Center entered into a partnership with the China Research Center on Comparative Politics and Economics (CRCCPE), a leading think tank in China, which also administers the China Local Innovations Program, a sister program of the Center’s Innovations in American Government (IAG) Awards. The goal over the next five years is to cultivate talented young Chinese individuals in the field of government innovation and social innovation. During this time, the CRCCPE will send two to three scholars each year to study at the Center and conduct research, utilizing resources from the Center, including its Innovations in Government Program, and Harvard Kennedy School more broadly. Research activities will include attending relevant events, conducting interviews, and utilizing the database of the IAG program.

In September 2013, the Ash Center welcomed the first three scholars from China.

**Xuelian Chen** is associate professor and director of the Social Survey Office at CRCCPE. Her main research interests include local governance, government innovations, government accountability, and political legitimacy. During her time at the Center, Chen will be comparing policy innovations and social accountability in the United States and China. **Yu Junbo** has been an associate professor at China’s Jilin University School of Administration since September 2010 and a director of the Jilin’s E-Government Department since 2012. His research will look at political reform advanced by Chinese local government innovations. **Liu Xuehua** is a professor and deputy dean of public administration at the Jilin’s School of Administration. During his time at the Center, he will conduct a comparative project on civic participation in public service in the US and China.

## Carnegie Centennial Fellowships

The Ash Center and the Carnegie Corporation of New York have established new fellowship program that will support Arab social scientists who are working on the region’s most pressing public problems—particularly in the realms of education, health, social welfare, and political and economic reform. As Egypt, Libya, Tunisia, Yemen, and elsewhere strive to implement reforms, there is a heightened need for rigorous social science in the Arab world. It has become apparent that the task of unseating dictators is only the first step; it must be followed by the arguably more difficult task of constructing and reconstructing public institutions that have been deliberately weakened by decades of authoritarianism, corruption, neglect, and mismanagement. Establishing transparent government, strengthening the capacity of the state, and promoting the development of human capital are all critical challenges for the region.

The Centennial Fellows program will enrich public policy research in and on the Arab world by bringing Arab scholars together with Kennedy School faculty working in such areas as transparency, institutional design, social policy, and the empirical evaluations of policy impacts. The resulting collaborations—that will range from sustained academic discussions to joint research papers and projects—will benefit from the marriage of deep local knowledge and cutting-edge social science research.

The first fellows will take up residence at the Ash Center in the fall of 2014.



## Crisis Leadership in Action

Researchers from the Ash Center's Program on Crisis Leadership (PCL) are intensively probing two recent, major—but quite different—emergency events to develop lessons about preparedness, crisis operations, and disaster recovery.

### The Boston Marathon Bombing

This past April, the running of Boston's iconic marathon was tragically interrupted by two bomb blasts at the finish line that left three people dead at the scene and dozens grievously injured.

With remarkable swiftness, the wounded were stabilized and transported to area trauma centers, where emergency medical workers saved the life of every victim. The bombing also triggered a massive law enforcement effort—involving local, state, and federal agencies over five days—to collect evidence and identify the suspects. A shootout with the two suspects left one dead and the surviving one was apprehended following an intensive manhunt, during which about 1 million residents of the Boston area, at the request of Massachusetts Governor Deval Patrick, were voluntarily "locked down" in their homes and businesses were closed.

Overall, the emergency medical response was highly effective; and, while there were definite rough edges around the police response, the degree of cooperation among law enforcement agencies—and between them and the public—was unprecedented.

PCL co-directors Dutch Leonard and Arn Howitt, working with Christine Cole, executive director of the HKS Program in Criminal Justice Policy and Management, attribute these results to dramatic improvements over the past decade in the Boston region's preparedness for emergencies at large-scale, fixed events such as the Marathon. Detailed planning, training, exercises, cross-organizational collaboration, and the experience of regularly running major events such as the Fourth of July celebration, national political conventions, and professional sports championships, all have fostered skills and cooperative relationships that paid off during the Marathon crisis. The



The gymnasium in Rikuzentakata, Japan, where hundreds had taken shelter, was destroyed by the tsunami on March 11, 2011

researchers are also diagnosing issues in the law enforcement operations that leave room for further improvement.

### The Great East Japan Earthquake: The Triple Disaster of March 11, 2011

Immediately following a 9.0 earthquake off its eastern coast, Japan suffered a catastrophic tsunami—as high as 20 meters and penetrating as far as 5 kilometers from the shore—along 650 kilometers of coastline. At the Fukushima Daiichi nuclear plant, the tsunami knocked out the reactor cooling system, which led to overheating of fuel rods and explosions, spewing radiation significant distances from the plant and into the sea. Eventually, residents were evacuated from their homes within a radius of 30 kilometers of the plant—areas that remain unoccupied to date.

A PCL team comprised of Arn Howitt, Assistant Director David Giles, and Research Fellow Hiromi Akiyami spent two months in Japan each of the past two summers extensively interviewing officials in the national government, the three most hard-hit prefectures, and several cities along the coast that suffered from the tsunami. They have been learning how the emergency response was conducted in the harrowing days and weeks after the disaster—how survivors were rescued, sheltered, and cared for, and how the 20,000 dead were

found and identified. In addition, the researchers have been studying the methods and effectiveness of the multilevel disaster recovery efforts in the stricken Tohoku region.

PCL expects to follow the recovery efforts in one more summer of research, ultimately writing a book that assesses the response and recovery process. Several papers are in preparation, as well as a teaching case study on the emergency operations.

*Leonard and Howitt have published preliminary results of the Marathon bombing study in two papers: "Boston Marathon Bombing Response" and "The Medical Response to the Boston Marathon Bombings." Early results of the Japan project are also available in "An Incident Management System for Japan?" and "Systems Failure." These papers can be downloaded at <http://hvr.me/1bfM7RV>. In addition, Howitt delivered a seminar at the Harvard Asia Center on Japan's emergency response to the triple disaster, which is available at <http://vimeo.com/52488882>.*



## On the Bookshelf

### Center Publishes Papers on “Improving the Local Landscape for Innovation”

The Ash Center has published a miniseries titled “Improving the Local Landscape for Innovation” as part of its Occasional Papers Series edited by Tony Saich, director of the Ash Center and Daewoo Professor of International Affairs. The three papers were written by Tim Glynn-Burke, research associate at the Center; Gigi Georges, former program director for the Ash Center’s Innovation Strategies Initiative; and HKS alumna Andrea McGrath ’05.

The authors note that some city leaders are reframing innovation from a value-based concept to a concrete goal with specific targets in the same manner they have transformed their approach to values such as efficiency and transparency. The authors also observe that cities across the country are working to strengthen the civic, institutional, and political building blocks that are critical to developing new solutions to public problems—or what the authors call the local innovation landscape.

“An innovation team can look beyond formulating and incubating new technologies, service improvements, or policy innovations,”

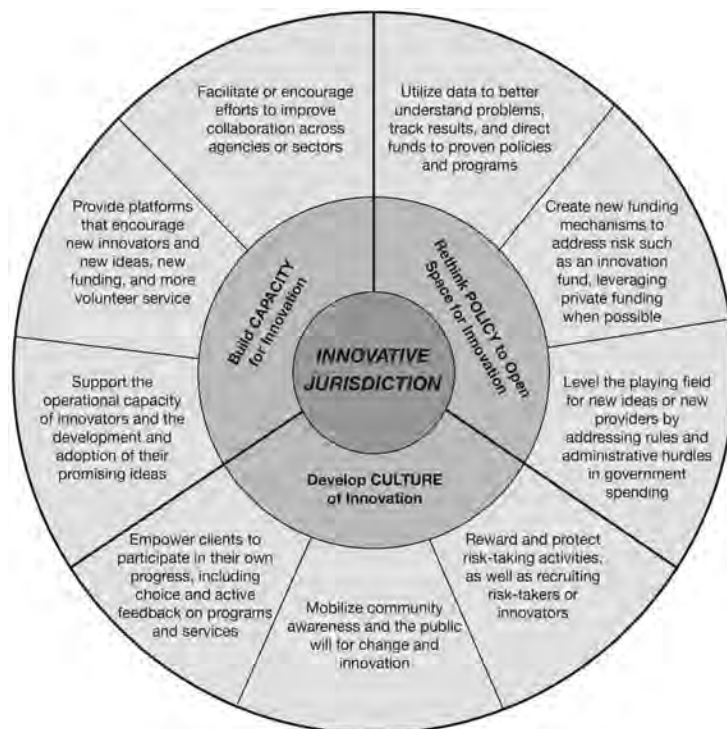
says Glynn-Burke. “They can help build a robust pipeline of both innovators and ideas from across the city or help the most promising ideas to scale, including mobilizing the political will for measured risk-taking and change.”

The first paper in this series, “Mechanics, Partners, and Clusters,” presents three case studies exploring current efforts to drive innovation in Boston, Denver, and New York City. The paper also orients the miniseries within the robust discourse on government innovation.

In their second paper, “Framework for an Innovative Jurisdiction,” the authors introduce a framework to help cities improve the local landscape for innovation, developed and refined through interviews with dozens of city officials, online forums, first-person accounts, practitioner surveys, fieldwork, and a review of existing literature. The framework proposes three primary strategies—building the city’s collective capacity for innovation, rethinking policy to open the space for innovation, and developing a culture of innovation—with three components to each strategy.

The third paper, “Assessment and Implementation,” focuses on implementation of these strategies and components. It introduces an assessment tool that includes objectives, key questions, and sample indicators in support of the nine components of the framework. The assessment tool differs from traditional performance management systems in that it focuses on the structural conditions that encourage innovation. The authors further conduct a conceptual test of the framework and assessment tool using the Center for Economic Opportunity in New York City, which won the 2012 Innovations in American Government Award.

“I am happy to present this miniseries to practitioners and fellow scholars alike,” remarked Tony Saich. “As the authors make clear, this project is not a definitive statement on the most effective innovation strategies but rather is intended to stimulate a much needed, and what we think will be a welcomed discussion on how to drive innovation in public problem-solving.” To that end, the papers have been made available on the Ash Center website and the Government Innovators Network portal. The papers were also republished in their entirety by the *Philadelphia Social Innovations Journal* for their fall 2013 issue on government innovation. The papers may be downloaded at <http://bit.ly/Hm5NuL>.



**China Goes Global Conference**

September 25–27, 2013

The 2013 China Goes Global conference held September 25–27 at Jacobs University in Bremen, Germany, brought together almost 100 scholars and researchers from 19 countries to discuss various aspects of the globalization of China’s enterprises. One of only three German city-states, the historic town of Bremen has long been known as a center of German’s maritime trade and entrepreneurship and is home to an increasing number of Chinese companies. In conjunction with the academic presentations, a parallel gathering drew dozens of local business people interested in the impact of China’s economic expansion on German businesses.

With keynotes by recognized academics in the field of international business as well as the Swiss chief negotiator for the Government Procurement Agreement of the World Trade Organization, the conference highlighted the ever-increasing presence of Chinese organizations in many different arenas of political and economic activity. The conference started with an opening gathering at the historic Bremen Rathaus with welcomes by the local senator and President Peitgen of Jacobs University. Six parallel sessions during the next two days examined policy issues such as shifting power balances between China and the United States, implications of Chinese currency internationalization, and government influence on China’s “going out policy,” which encourages Chinese enterprises to invest overseas. Firm-level studies looked at FDI (foreign direct investment) location choice, strategic management issues, as well as the impact of culture and language on globalization.

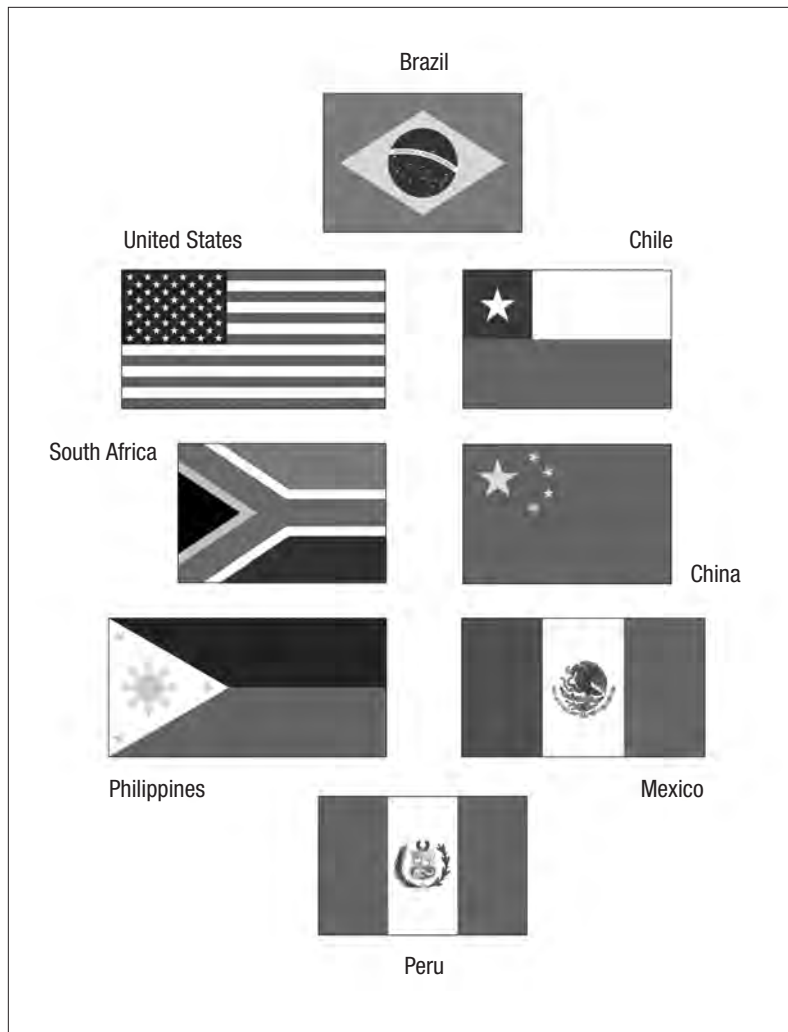
The conference was sponsored by the newly incorporated Chinese Globalization Association in conjunction with the Ash Center, Jacobs University, Rollins College’s China Study Center, and the Scheller College of Business at Georgia Tech.

**Global Public Innovation Network Conference**

October 3–4, 2013

In early October, the Ash Center participated in the Global Public Innovations Conference in Quezon City, the Philippines, a two-day event highlighting cutting-edge innovations in public management. The conference was organized by the Galing Pook Foundation in celebration of the 20th anniversary of the Galing Pook Awards. The Philippines’ Galing Pook Foundation is a member of the Global Public Innovation Network, which also includes the Center’s Innovations in American Government Awards and eight other sister programs from China, South Africa, Brazil, Chile, Peru, Mexico, and the American Indian Tribes in the US. Good governance champions around the world came together to share innovations and best practices, offer technical assistance to aspiring local governments willing to adopt proven initiatives, and forge new networks around public innovation.

Conference breakout panels focused on a number of themes, including climate change, disaster risk reduction, and environmental protection; conflict management and resolution; economic development and poverty reduction; service delivery; transparency and



The countries represented by the Global Public Innovation Network



Lecturer Jay Rosengard presents at the Global Tax Policy Conference in Ireland



The Irish Tax Institute confers an Honorary Fellowship on Lecturer Jay Rosengard

accountability; and e-governance. The final plenary session included a roundtable of eight members of the Global Public Innovation Network, who discussed lessons learned from their respective innovation award programs around the world.

Through support from the Ford Foundation, the Global Public Innovation Network was established in 2002 to enhance the collaboration among innovations award programs for shared learning and global dissemination of individual and collective knowledge and experiences. Network activities include workshops, research, and publications that demonstrate the group's fundamental belief that government can be improved through the identification and dissemination of examples of effective solutions to public-sector problems.

### Ash Center Hosts Global Tax Policy Conference with Irish Tax Institute

October 17–18, 2013

Two hundred and sixty delegates, representing 30 countries, attended the Ash Center's Global Tax Policy Conference in October. Cohosted with the Irish Tax Institute and convened at Dublin Castle in Ireland, the objective of the Conference was to provide expert perspectives on the challenges facing the world's tax policymakers and administrators.

Pascal Saint-Amans, director of the Center for Tax Policy and Administration at the OECD, opened the Conference. Pascal's presentation focused on the OECD's Base Erosion and Profit Shifting project, which became a recurring and influential theme throughout the event.

Two days prior to the Conference opening, Ireland's Finance Minister Michael Noonan presented the annual budget to the Parliament. Minister Noonan delivered a keynote address about Ireland's fiscal policy and its international corporation tax strategy at the Conference's gala dinner. Also that evening, Irish Tax Institute President Helen O'Sullivan conferred an Honorary Fellowship of the Institute on our own Jay Rosengard in recognition of his contribution to global tax research and education. This was only the fourth time the Institute has bestowed this honor in its 46-year history.

The chairman of the Irish Revenue Authority, Josephine Feehily, who also currently chairs the OECD Forum on Tax Administration and the World Customs Organization, gave a presentation on the links between tax policy design and implementation and what happens when they work well and not so well. Her points were illustrated by speakers presenting case studies from South Africa (Professor Sharon Smulders), Singapore (Dennis Lui of the Inland Revenue Authority), and Burundi (Commissioner General Kieran Holmes).

Another highlight was a co-presentation by Doug Shulman, senior fellow at the School's Mossavar-Rahmani Center for Business and Government and former IRS Commissioner, and Feargal O'Rourke, Head of Tax & Legal Services PwC Ireland, on the case for reform of the US tax system and the implications for Europe.

Many alumni of Rosengard's Comparative Tax Policy and Administration executive education program attended the conference including Irish Tax Institute CEO Mark Redmond, who was the lead



HKS Conference partner. With speakers from the IMF, the EU Commission, the UK Office for Tax Simplification, the Australian Tax Office, and many other leading tax institutions from around the world, this was indeed a global event.

### **Collaborative Problem Solving in the 21st Century**

August 1–3, 2013

The Project on Municipal Innovation Advisory Group, formerly referred to as the Urban Policy Advisory Group, held its 10th convening in August at Harvard Kennedy School. The Project on Municipal Innovation is a unique forum that enables city halls across the country to learn about and implement transformative policy ideas. Chiefs of staff and policy directors from 30 of the country's largest cities meet twice annually here at the School. The theme of the August meeting was "Collaborative Problem Solving in the 21st Century."

The meeting opened with 311 directors, chief innovation officers, and other city IT leaders exploring the idea of call centers as platforms for innovation. Susan Crawford, a professor at Yeshiva University's Cardozo School of Law and codirector of Harvard University's Berkman Center, presented a case study of Boston's Mayor's Office of New Urban Mechanics. This spurred a wide-ranging discussion, from the need for data standards to support collaboration to the potential for social media and apps to meaningfully engage citizens.

Harvard Kennedy School lecturer and author Nicco Mele, who delivered the keynote, spoke to city government leaders about the challenges and opportunities presented by our smartphone-driven era of radical connectivity. His talk provided a bridge to the sessions on collaborative problem-solving that followed. In an intensive all-day meeting, city leaders investigated new ways to both foster collaboration through data-driven collective impact models and finance large-scale innovations through promising models such as "Pay for Success" initiatives.

### **China's Leaders in Development**

August 29–September 18, 2013

Twenty-seven senior Chinese officials from the central government, provinces, and major cities focused intensively on the dilemmas of rapid urban growth and development in the 11th iteration of the China's Leaders in Development (CLD) executive education program held in Beijing in August and at the Kennedy School in September.

While in Cambridge, participants attended sessions with 23 Harvard faculty over nearly three weeks. Topics included American urbanization in international perspective, urban design patterns, urban service delivery, and infrastructure finance. Participants also made a number of site visits in the Boston area to learn about airport planning at Massport, performance management in Somerville city government, elderly housing options, and Boston's redevelopment planning process.

Ash Center Director Tony Saich was the program chair, Arn Howitt was co-chair, and Alan Altshuler guided the urban curriculum.



Members of the Project on Municipal Innovation (PMI) Advisory Group



Nicco Mele delivers the keynote for the PMI Advisory Group meeting



Professor Stephen Goldsmith introduces Nicco Mele at the PMI Advisory Group meeting

To develop and sustain the program, the Center works closely with its academic partner, Tsinghua University's School of Public Policy and Management, as well as with CLD's government and party sponsors, the Development Research Center of the State Council, and the central Organization Department. CLD has been generously supported since its inception in 2001 by Amway (China) Co.

### Asia Energy Leaders Training Program

May 20–June 7, 2013

The Asia Energy Leaders Program convenes premier faculty and senior energy executives of the Asian region to analyze emerging trends in energy governance, technology, and markets. In 2013, the Program designed a tailored curriculum for senior executives of the China Southern Grid Corporation, China's second largest electric utility. This three-week training program—held both at the Harvard Kennedy School and in New York—equipped executives with new frameworks and innovative approaches to understanding six key issues: globalization, competitiveness, sustainable development, corporate strategy, low carbon technologies, and energy governance and security. Lectures also sought to provide political context to such challenges, extending beyond the energy sector to include overviews of US politics, institutions, and media, as well as models of leadership and persuasion. Visits to GE Crotonville's Leadership Training School and West Point provided real-world comparisons of public and private models of leadership, applying classroom concepts to business and government.

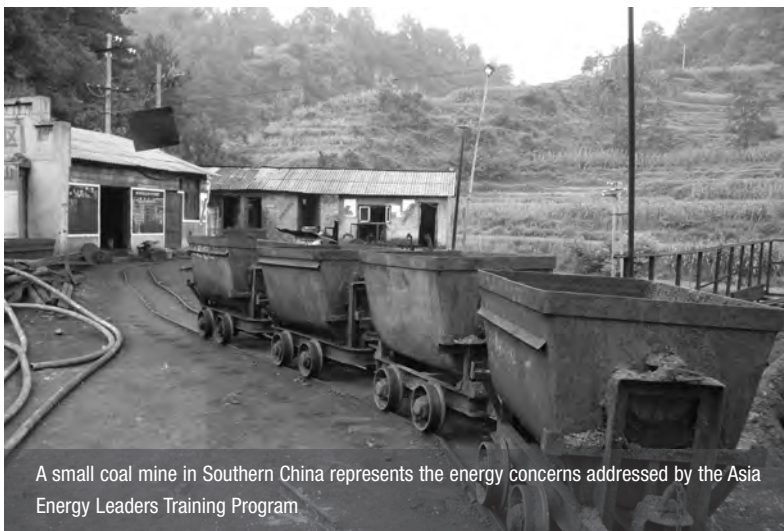
In addition to classroom lecture and discussion, participants engaged in seminars with leading practitioners from established and start-up firms, including Duke Energy, Siemens Venture Capital, IBM, General Electric, General Compression, and First Fuel. Finally, classroom frameworks were integrated with on-the-ground experiences through site visits to demonstration projects of emerging utility storage technologies, to the world's largest competitive wholesale electricity market (PJM), and to the New York City Fire Department's Emergency Operations Center.



Professor Edward Glaeser teaches a session of China's Leaders in Development



Ash Center Director Saich and Edward Cunningham with this year's Asia Energy Leaders participants



A small coal mine in Southern China represents the energy concerns addressed by the Asia Energy Leaders Training Program

## Ash Center Funds Experiential Learning Projects

The Ash Center is committed to encouraging careers in the public sector, providing opportunities for students to explore in greater depth the topics and questions that interest them most, and strengthening the connection between students and faculty affiliated with the Center. This past summer, through three of its programs, the Center supported 16 students with research and hands-on work opportunities.

### Summer Fellows in Innovation

Since 2008, the Center's Innovations in Government Program has been placing students in summer fellowships with some of the most creative and effective public officials and policy advisors in the country, not only to learn but to add value by sharing cutting-edge trends and ideas explored at HKS. This summer, seven HKS students were hosted by public-sector partner agencies:

**Scott Hugo**, JD/MPP '15, with the Oakland City Administrator's Office and the Oakland Police Department.

**Dhruv Khullar**, MD/MPP '14, with the White House Office of Management and Budget's Health Division.

**Alexandra Lawrence**, MPP '14, with the Boston Mayor's Office of New Urban Mechanics.

**Sylvia Leung**, MPP '14, with the San Francisco Department of Public Health.

**Amelia Mann**, MPP/MBA '15, with the US Department of Labor's Chief Innovation Officer.

**Ben Weinryb Grohsgal**, MUP/MMP '14, with the San Francisco Mayor's Office of Civic Innovation.

**Deloris Wilson**, MPP '14, with the Office of the Prime Minister of St. Martin (BVI).

### Vietnam Program Internships

The Vietnam Program supported two HKS students (plus two students outside Harvard) with summer internships at the Fulbright School in Ho Chi Minh City. **Mpumelelo Nxumalo** and **Rodrigo Sanchez**, both MPA/ID students, contributed to the economic development research being conducted by local faculty.

### HKS Indonesia Student Research Grantees

The HKS Indonesia Program awarded summer research grants to three HKS students and four additional students from across Harvard, including two doctoral students. The HKS students' projects, conducted in partnership with local institutions, included social protection and monitoring (**Antara Lahiri** with UNICEF), water and sanitation (**Sandra Naranjo** with World Bank), and poverty reduction (**Clara Pava Torres** with the Indonesian Vice President's Office of the National Team for Accelerating Poverty Reduction).



Amelia Mann



Scott Hugo



Deloris Wilson



## Student Focus

### 2013–2014 New Fellows

#### Ford Foundation Mason Fellows

The Ford Foundation Mason Fellowships are awarded to meritorious midcareer students with financial need and a demonstrated interest in the overarching issues of concern to the Ash Center to study at Harvard Kennedy School for an intensive, one-year master's degree in public administration. The Center is sponsoring the following students for this academic year:

**Gan, Li**, Mason Fellow '14, from China where she worked for Sino Tech.com and helped local governments use social media.

**Jalloh, Gibrill**, Mason Fellow '14, from Sierra Leone where he most recently worked for the World Bank Justice for the Poor Program. **Sevortian, Anna**, Mason Fellow '14, from Russia where she has worked in human rights for 15 years.

**Zitha, Xolani**, Mason Fellow '14, from Zimbabwe where he most recently served as director of the Office of the Speaker of the House of Assembly at the Parliament.

#### Roy and Lila Ash Fellows

The Roy and Lila Ash Fellowship in Democracy supports students with a strong interest in the broad questions of democratic governance, a capacity for leadership, a commitment to search and inquiry, and a dedication to advancements in social justice and service to citizens around the world. This year's Roy and Lila Ash Fellow is **Edgar Mora Altamirano**, MC/MPA '14, from Costa Rica, is a former journalist and current serving his second term as mayor of Curridabat.

#### HKS Indonesia Program Fellows

The HKS Indonesia Program offers fellowships to support Indonesian students enrolled at Harvard Kennedy School. This year's HKS Indonesia Program Fellows are:

**Dei Sudarmo, Pramoda**, MPA/MBA '15, from Indonesia where his experience and interests lie at the intersection of business and government.

**Tan, Jurst**, MPA/ID '15, from Indonesia who has worked to improve Indonesia's social protection programs through both the philanthropic and public sectors.

#### Lee Kuan Yew Fellowship

The Lee Kuan Yew Fellows Program brings midcareer students to HKS for one semester each year. From every country in Asia, these students are candidates for the Master in Public Management degree at the Lee Kuan Yew School of Public Policy at the National University of Singapore. For a complete listing of this year's LKY fellows, please visit <http://bit.ly/1dhE0qk>.

#### Democracy Fellowships

The Ash Center's Democracy Fellowships support predoctoral and postdoctoral scholars as well as practitioners in research areas related to democratic governance. This year, the following 11 Democracy Fellows joined the Center:

**Anastasopoulos, Jason**, PhD in Political Science, University of California, Berkeley

**Bruno, Jonathan**, Joint JD/PhD Candidate, Harvard Law School & Harvard Graduate School of Arts and Sciences

**Caluwaerts, Didier**, PhD in Political Science, Vrije Universiteit Brussel

**Grajew, Oded**, Founder, Sustainable Cities Program, Brazil

**Jaklic, Klemen**, Teaching Fellow, Harvard Kennedy School

**Ludsin, Hallie**, Human Rights Lawyer

**MacKenzie, Michael**, PhD Candidate in Political Science, University of British Columbia

**McKinley, Maggie**, Co-Principal Investigator, University of Chicago

**Pan, Jennifer**, PhD Candidate in Government, Harvard University

**Perry, Tomer**, PhD Candidate in Political Science, Stanford University  
**Smith, Graham**, Professor of Politics, University of Westminster

#### Indonesia Research Fellowship

The Ash Center's Harvard Kennedy School Indonesia Program offers fellowships to support Indonesian students, scholars, and practitioners conducting research on public policy issues related to Indonesia. The following six Indonesia Fellows joined the Center this fall:

**Ikhwan, Hakimul**, Lecturer in Sociology, Gadjah Mada University

**Irhamni, Milda**, PhD Candidate in Applied Economics, University of Minnesota

**Lattu, Izak**, PhD Candidate in Interdisciplinary Studies, Graduate Theological Union

**Lubis, Todung Mulya**, Founder & Senior Partner, Lubis, Santosa & Maramis Law Firm

**Susanti, Bivitri**, Researcher, Indonesian Centre for Law & Policy Studies

**Wicaksono, Gunawan**, PhD in Regional Science, Cornell University

#### New World Fellows

The New World Fellows Program encourages the next generation of prominent Chinese leaders to develop their professional skills and interact with international leaders of similar seniority and experience, as well as distinguished Harvard faculty, before returning to their positions of responsibility in the Chinese government. The Ash Center welcomed the following government officials in the fall 2013 semester:

**Jiao, Meiyun**, Deputy Administrator, China Meteorological Administration

**Zhang, Yujun**, Assistant Chairman, China Securities Regulatory Commission

#### Rajawali Fellows

The Rajawali Fellows Program allows predoctoral and postdoctoral scholars as well as practitioners the freedom to pursue independent research projects on public policy issues related to Asia, with the help of the Ash Center's Rajawali Foundation Institute for Asia and other Harvard resources. The Center welcomed 27 new Rajawali Fellows this fall. For a complete listing of this year's Rajawali Fellows, please visit <http://bit.ly/Hm0zPL>.



HARVARD Kennedy School

## ASH CENTER

for Democratic Governance  
and Innovation

Ash Center  
for Democratic Governance and Innovation  
Harvard Kennedy School  
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Cambridge, Massachusetts 02138

### In Focus: Challenges to Democracy

In September 2013, in honor of its tenth anniversary, the Ash Center for Democratic Governance and Innovation launched Challenges to Democracy, a public dialogue on ten challenges to our democratic form of government. The goal of the two-year series is not simply to name the greatest challenges our democracy faces today, but to put forward and give due attention to the promising solutions we need.



### Communiqué

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