Governance and Accountability Lab Class

Political Science 17.S950
Fall 2017

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Office hours   By appointment

Class   Thursdays 3-5pm
                       E53-485

Overview

This class has two components: a reading seminar and a practicum.

In the reading seminar component of the class, we will discuss and evaluate theories of government accountability, and theoretical literature on the ways in which formal and informal institutions shape the behavior of actors within the state and the interactions between state and societal actors. What are different institutional arrangements that promote government accountability and public goods provision? How do states control their agents and elicit compliance and cooperation from citizens? What are different models of the relationship between state and civil society?

The practicum component of the class will involve the supervised practical application of these theories of government accountability and the political behavior of development. In this component, we will discuss the uses and ethics of research in policy and practice, different models of practitioner-academic collaborations, and the ways in which these collaborations can contribute to theoretical knowledge as well as better practice in governance and accountability.

The practicum will also provide an opportunity for each student to explore and incubate a potential research collaboration with practitioner organizations, ideally in a way that promotes "engaged scholarship," i.e. collaboration between academics and individuals outside the academy based on principles of reciprocity and resulting in the mutually beneficial exchange of knowledge and resources.

Course requirements

1) **Response papers (3 paired memos of 1-2 pages).** Each student will select three weeks for which they will work <u>in pairs</u> to write shared one-page response memos on theories of governance and accountability. These memos should elaborate critically and creatively on an idea or question suggested by their synthesis. All memos will be due on **Wednesdays at 12 noon via email**, and no extensions will be permitted.

2) **Case study of practitioner-academic collaboration, OR white paper on principles and practices of practitioner-academic collaborations (5-7 pages).** Students will choose ONE of two options. The first option is to identify an existing practitioner-academic collaboration in social science and to write a case study analyzing the successes and failures of the collaboration. The second option is to write a "white paper" that focuses on a particular problem or issue in practitioner-academic collaborations in political science and makes recommendations for how we might address this problem or issue. This paper will be due on our last day of class, **December 7th**.

3) **Research proposal for practitioner collaboration (12-15 pages; 3000-4000 words).** This paper will be due on **December 14th.**

   Note: Students may also elect to write a full research paper. If you are interested in pursuing this option, please let me know by **October 19th**.

List of discussion topics

Practitioner-academic collaboration

1) The "aid-industrial complex"
2) The uses of research in policy and practice
3) Models of practitioner-academic partnerships and examples of practitioner-academic collaborations in accountability and participation
4) Ethics of practitioner-academic collaborations
5) Methods for applied research and engaged scholarship on accountability and participation

Governance and accountability

1) Theories of institutions, norms, and organizational culture
2) Accountability and governmental performance
3) State control of agents/ within-state "horizontal" accountability and bureaucrat motivation
4) State control of citizens and voluntary citizen compliance
5) State and civil society

Readings by week *(preliminary)*

WEEK 1 Motivations for the class
Sep 7

PRACTITIONER-ACADEMIC COLLABORATION

WEEK 2
Oct 19

The "aid-industrial complex"
What (perverse) incentives and constraints face practitioners and academics working in accountability and participation?

Werker, Eric, and Faisal Z. Ahmed. 2008. "What do nongovernmental organizations do?." *The Journal of Economic Perspectives* 22, no. 2: 73-92.

Easterly, William, and Tobias Pfutze. 2008. "Where does the money go? Best and worst practices in foreign aid." *The Journal of Economic Perspectives* 22, no. 2: 29.

Ferguson, James. *The Anti-Politics Machine:*. Minneapolis: University of Minnesota Press, 1994. Introduction, Chapters 7 and 9.

Re-read:

Watkins, Susan Cotts, Ann Swidler, and Thomas Hannan. 2012. "Outsourcing social transformation: Development NGOs as organizations." *Annual Review of Sociology* 38.

Pritchett, Lant, Michael Woolcock, and Matthew Andrews. "Capability Traps? The Mechanisms of Persistent Implementation Failure." *Center for Global Development* Working Paper, 234 (2010).

The uses of research in policy and practice
What are the different ways that practitioners use research? Under what conditions are practitioners more likely to use research? When do they use different types of research? What does it take to produce research that is useful to policy and practice? What does it take to produce research that is useful to practitioners and that contributes to theoretical knowledge? What do academics need to do? What infrastructure ought to be in place?

Tseng, Vivian. *The uses of research in policy and practice*. Washington, DC: Society for Research in Child Development, 2012.

Tseng, Vivian, and Sandra Nutley. 2014. "Building the Infrastructure to Improve the Use and Usefulness of Research in Education." In *Using Research Evidence in Education: From the*

Schoolhouse Door to Capitol Hill, edited by Kara S Finnigan and Alan J Daly, 163–75. Cham: Springer International Publishing. 2014.

 Mosley, Jennifer E, and Katherine Gibson. 2017. "Strategic Use of Evidence in State-Level Policymaking: Matching Evidence Type to Legislative Stage." *Policy Sciences*, 1–23.

Bogenschneider, Karen, and Tom Corbett. 2010. *Evidence-Based Policymaking: Insights from Policy-Minded Researchers and Research-Minded Policymakers*. New York: Routledge, 2010. Chp 10-11.

Neal, Z. 2017. "What Makes a Broker a Broker?" *The William T. Grant Foundation Blog*. Retrieved from http://wtgrantfoundation.org/makes-broker-broker

Additional reading:

Bogenschneider, Karen, Olivia M Little, and Kristen Johnson. 2013. "Policymakers' Use of Social Science Research: Looking Within and Across Policy Actors." *Journal of Marriage and Family* 75 (2). Wiley Subscription Services, Inc.: 263–75.

Neal, Jennifer Watling, Zachary P Neal, Mariah Kornbluh, Kristen J Mills, and Jennifer A Lawlor. 2015. "Brokering the Research–Practice Gap: A Typology." *American Journal of Community Psychology* 56 (3–4). Springer US: 422–35.

Massell, Diane, Margaret E Goertz, and Carol A Barnes. 2012. "State Education Agencies' Acquisition and Use of Research Knowledge for School Improvement." *Peabody Journal of Education* 87 (5). Routledge: 609–26.

WEEK 3
Sep 21

Models for practitioner-academic partnerships in accountability and participation
What are different types of practitioner partners for collaborative research?   What are different models for practitioner-academic collaborations?

EGAP Metaketa Initiative in The Monkey Cage:
"https://www.washingtonpost.com/news/monkey-cage/wp/2017/06/08/this-new-initiative-is-trying-to-make-scientific-research-more-reliable/?utm_term=.48b74eb8c652

JPAL
https://www.povertyactionlab.org/

The Gettysburg Project
http://gettysburgproject.org/

Scholars Strategy Network

http://www.scholarsstrategynetwork.org/

CEGA, Berkeley
http://cega.berkeley.edu/

Matchmaking for evaluators and practitioners:
- http://www.research4impact.com/
- http://egap.org/content/start-egap-evaluation

Coburn, C. E., and W. R. Penuel. 2016. "Research-Practice Partnerships in Education: Outcomes, Dynamics, and Open Questions." *Educational Researcher* 45 (1): 48–54.

Palinkas, L., Short, C., and Wong, M. 2015. "Research-Practice-Policy Partnerships for Implementation of Evidence-Based Practices in Child Welfare and Child Mental Health." *The William T. Grant Foundation Blog*. Retrieved from: http://wtgrantfoundation.org/library/uploads/2015/10/Research-Practice-Policy_Partnerships.pdf

Karlsen, Jans Irgens. 1991. "Action Research as Method, Reflections from a Program for Developing Methods and Competence." In *Participatory Action Research*, edited by William Whyte. Newbury Park, CA.: Sage Publications. 1991. Chp 10.

WEEK 4 Ethical considerations in practitioner-academic collaborations
Sep 28

Humphreys, Macartan. "The Ethics of Field Experiments." Retrieved from: http://www.columbia.edu/~mh2245/ethics.pdf.

Desposato, Scott. *Ethics and Experiment: Problems and Solutions for Social Scientists and Policy Professionals*. Routledge Studies in Experimental Political Science. New York: Taylor and Francis, 2016.

Duncombe, Jean and Julie Jessop. "'Doing Rapport' and the Ethics of 'Faking Friendship.'" in *Ethics in Qualitative Research*, 2nd Ed. Eds. Maxine Birch, Tina Miller, Melanie Mauthner, and Julie Jessop. Thousand Oaks, CA: Sage Publications. 2012. pp. 108-121.

Zimmer, Michael. 2010. "'But the Data Is Already Public': On the Ethics of Research in Facebook." Ethics and Information Technology 12(4):313-325.

Venkatesh, Sudhir. *Gang Leader for a Day: A Rogue Sociologist Takes to the Streets.* New York: Penguin Press. 2008. Chapters 1 & 6. pp. 1-26 and 185-218.

Waterston, Alisse. 2012. "Exoticizing the Other and the Author: Commentary on Gang Leader for a Day by Sudhir Venkatesh." North American Dialogue 15(1): 13-17.

WEEK 5 Methods for applied research and engaged scholarship
Oct 5
RCTs, action research, participatory action research, intervention experiments, field research methods, fieldwork preparedness

JPAL, "Introduction to Evaluations." Retrieved from:
https://www.povertyactionlab.org/sites/default/files/resources/Introduction-to-Evaluations.pdf.

Somekh, Bridget. *Action Research: A Methodology for Change and Development*. Doing Qualitative Research in Educational Settings. Maidenhead: Open University Press, 2006.

Adelman, Clem. 1993. "Kurt Lewin and the Origins of Action Research." *Educational Action Research* 1 (1). Routledge: 7–24.

van Maanen, John. 1983. "On the Ethics of Fieldwork." In *An Introduction to Social Research: A Handbook of Social Science Methods*, Volume I. Ed. Robert B. Smith. Cambridge, MA: Ballinger Publishing Company. 1983. pp. 227-252.

Wood, Elisabeth Jean. 2006. "The Ethical Challenges of Field Research in Conflict Zones." *Qualitative Sociology* 29: 373-386.

Sluka, Jeffrey A. 1995. "Reflections on Managing Danger in Fieldwork: Dangerous Anthropology in Belfast." in *Fieldwork Under Fire: Contemporary Studies of Violence and Survival*. Eds. Carolyn Nordstrom and Antonius C. G. M. Robben. Berkeley: University of California Press. pp. 276-294.

Lofland, John, David Snow, Leon Anderson, and Lyn H. Lofland. 2006. *Analyzing Social Settings: A Guide to Qualitative Observation and Analysis. 4th Ed*. Belmont, CA: Thomson Wadsworth. pp. 99-118.

Fujii, Lee Ann. 2010. "Shades of Truth and Lies: Interpreting Testimonies of War and Violence." *Journal of Peace Research* 47(2): 231-241.

Weiss, Robert S. 1994. *Learning from Strangers: The Art and Method of Qualitative Interview Studies*. New York: The Free Press. Chapters 4 & 5, pp. 61 - 150.

Wedeen, Lisa. 2009. "Ethnography as Interpretive Enterprise." in *Political Ethnography: What Immersion Contributes to the Study of Power*. Ed. Edward Schatz. Chicago: University of Chicago Press. pp. 75-94.

Rathbun, Brian C. 2008. "Interviewing and Qualitative Field Methods: Pragmatism and Practicalities." in *The Oxford Handbook of Political Methodology*. Eds. Janet M. Box-

Steffensmeier, Henry E. Brady, and David Collier. New York: Oxford University Press. pp. 685-701.

Paluck, Elizabeth Levy. 2010. "The Promising Integration of Qualitative Methods and Field Experiments." *The ANNALS of the American Academy of Political and Social Science* 628: 59-71.

WEEK 6 Working group presentations on practicum issues
Oct 12

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GOVERNANCE AND ACCOUNTABILITY

WEEK 7 What do we mean by institutions and norms?
Nov 2

Hall, Peter A., and Rosemary CR Taylor. 1996. "Political science and the three new institutionalisms." Political Studies 44, no. 5: 936-957.

Helmke, Gretchen, and Steven Levitsky. 2004. "Informal institutions and comparative politics: A research agenda." *Perspectives on politics* 2, no. 4: 725-740.

Levitsky, Steven, and María Victoria Murillo. 2009. "Variation in institutional strength." *Annual Review of Political Science* 12: 115-133.

Additional reading:

March, James G., and Johan P. Olsen. 2008. "Elaborating the 'New Institutionalism.'" In *The Oxford Handbook of Political Institutions*: Oxford University Press.

March, James G., and Johan P. Olsen. 1983. "The new institutionalism: Organizational factors in political life." *American Political Science Review* 78, no. 3: 734-749.

March, James G., and Johan P. Olsen. *Rediscovering Institutions: The Organizational Basis of Politics*. New York: The Free Press, Chp. 9.

North, Douglass C. *Institutions, Institutional Change, and Economic Performance*. The Political Economy of Institutions and Decisions. Cambridge: Cambridge University Press, 1990.

Thelen, Kathleen. "Historical institutionalism in comparative politics." *Annual review of political science* 2, no. 1 (1999): 369-404.

Accountability and governmental performance

Lily L. Tsai. *International Encyclopedia of Political Science, 6th ed. s.v. "Accountability"*.

Moe, Terry M. 1984. "The New Economics of Organization." *American Journal of Political Science* 28, no. 4: 739-77.

Lily L. Tsai. 2007. "Solidary Groups, Informal Accountability, and Local Public Goods Provision in Rural China." *American Political Science Review* 101, no.2: 355-372.

Tendler, Judith. *Good Government in the Tropics*. The Johns Hopkins Studies in Development. Baltimore: Johns Hopkins University Press, 1997, Introduction and Chapter 6.

Additional reading:

Putnam, Robert D., Robert Leonardi, and Raffaella Nanetti. *Making Democracy Work: Civic Traditions in Modern Italy*. Princeton, N.J.: Princeton University Press, 1993. Chp 1.

Persson, Anna, Bo Rothstein, and Jan Teorell. 2013. "Why anticorruption reforms fail—systemic corruption as a collective action problem." *Governance* 26, no. 3: 449-471.

Schedler, Andreas. 1999. "Conceptualizing Accountability." In *The Self-Restraining State: Power and Accountability in New Democracies*, edited by Andreas Schedler, Larry Jay Diamond, and Marc F Plattner, 13–28. Boulder and London: Lynne Rienner Publishers, 1999.

Tsai, Lily L. *Accountability without democracy: Solidary groups and public goods provision in rural China*. Cambridge: Cambridge University Press, 2007.

World Bank. *World Development Report 2004: Making Services Work for Poor People*. World Bank. 2003.

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WEEK 8 State control of agents and the behavior of bureaucrats
Nov 16

O'Donnell, Guillermo A. 1998. "Horizontal accountability in new democracies." *Journal of democracy* 9, no. 3: 112-126.

Heilmann, Sebastian. 2008. "Policy experimentation in China's economic rise." *Studies in Comparative International Development* 43, no. 1: 1-26.

Holmström, Bengt. 1999. "Managerial Incentive Problems: A Dynamic Perspective." *The Review of Economic Studies* 66, no. 1: 169-82.

Guillermo Toral (with Ben Morse and Lily Tsai). "Evidence synthesis of horizontal accountability studies." Work in progress. (Focus on pages 14-27)

Bernardo Zacka. *When the State Meets the Street.* Preface, introduction, chapters 1, 2, and 5.

Additional reading:

Lipsky, Michael. *Street-Level Bureaucracy: Dilemmas of the Individual in Public Services*. Publications of Russell Sage Foundation. New York: Russell Sage Foundation, 1980.

WEEK 9 State control of citizens and voluntary citizen compliance
Nov 30

Scott, James C. *The Moral Economy of the Peasant: Rebellion and Subsistence in Southeast Asia*. New Haven: Yale University Press, 1976. Introduction, Chapters 1, 4, and 6.

Grossman, Guy. "Do Selection Rules Affect Leader Responsiveness? Evidence from Rural Uganda." *Quarterly Journal of Political Science*, (2014) 9: 1–44

Truex, Rory. "Consultative Authoritarianism and Its Limits." *Comparative Political Studies*, 2014.

Tsai, Lily L. *Participation and Punishment: Why Citizens Engage Under Retributive Justice.* Book manuscript. Chapter 3.

Stern, Rachel E., and Jonathan Hassid. "Amplifying silence uncertainty and control parables in contemporary China." *Comparative Political Studies* 45, no. 10 (2012): 1230-1254.

Read or re-read from last semester:

Levi, Margaret. *Of Rule and Revenue. California Series On Social Choice and Political Economy*. Vol. 9, Berkeley: University of California Press, 1988. Chapters 1-3.

Tom Tyler, "Psychological Perspectives on Legitimacy and Legitimation." *Annual Review of Psychology* (2006): 375-400.

Additional reading:

He, Baogang and Mark Warren. "Authoritarian Deliberation: The Deliberative Turn in Chinese Political Development." *Perspectives on Politics*, 9(2), June 2011.

Hirschman, Albert O. *Exit, Voice, and Loyalty: Responses to Decline in Firms, Organizations, and States*. Cambridge, Massachusetts: Harvard University Press, 1970.

King, Gary, Jennifer Pan, and Margaret Roberts. "How Censorship in China Allows Government Criticism but Silences Collective Expression." *American Political Science Review*, 107(2), May 2013.

James Scott, *Seeing Like the State*

Tyler, Tom R. *Social Justice in a Diverse Society*. Boulder: Westview Press, 1997.

WEEK 10 State and civil society
Dec 7

Foley, Michael W. and Virginia Hodgkinson. 2003. "Introduction," *The Civil Society Reader*, vii-xxiv.

Shils, Edward. 2003. "The Virtue of Civil Society." In *The Civil Society Reader*, 292-305.

Fu, Diana. 2017. "Disguised collective action in China." *Comparative Political Studies* 50, no. 4: 499-527.

Elinor Ostrom, 1997. "Crossing the Great Divide: Coproduction, Synergy, and Development." In *State-Society Synergy: Government and Social Capital in Development*, edited by Peter Evans. Chp 4. Berkeley, CA: University of California at Berkeley, International and Area Studies, 1997.

Peter Evans, 1997. "Development Strategies across the Public-Private Divide." In *State-Society Synergy: Government and Social Capital in Development*, edited by Peter Evans. Chp 1. Berkeley, CA: University of California at Berkeley, International and Area Studies, 1997.

Additional reading:

Seligman, Adam B. *The Idea of Civil Society*. New York: Free Press, 1992.

Keane, John. *Civil Society: Old Images, New Visions*. Stanford, Calif.: Stanford University Press, 1998.

Saich, Tony. 2000. "Negotiating the state: The development of social organizations in China." *The China Quarterly* 161: 124-141.