

# ANNOTATED BIBLIOGRAPHY for Change Agents

Ronald G Young - Project Leader, TACIS project Bishkek, 2007

..... And what there is to conquer  
By strength and submission, has already been discovered  
Once or twice, or several times, by men whom one cannot hope  
To emulate - but there is no competition -  
There is only the fight to recover what has been lost  
And found and lost again and again; and now under conditions  
That seem unpropitious. But perhaps neither gain nor loss  
For us, there is only the trying. The rest is not our business.  
TS Eliot (Four Quartets)

*Senior policy-makers simply don't have the time to read; and are dubious anyway whether those who scribble (particularly if foreign) have anything of significance to say to them - as we all have to begin from "where we are". And outsiders (of any sort) patently don't understand that. Hence the need for "intermediaries" (advisers) who have a sense of both worlds.*

*I am a practical man; but believe there is nothing so practical as a good theory. In going beneath the surface of things and trying to identify causes and patterns (and other people's mistakes) you can be saved so much waste of time, money and effort - even reputation! Here are the books I have found useful in recent years - with some summaries and excerpts. It is a list I have been keeping for some 10 years and trying (none too successfully) to keep updated.*

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## INTRODUCTION

The life-cycle, pragmatism and attention-span of Ministers and local government leaders cause them generally to adopt what might be called a "blunderbuss" approach to change: that is they assume that desirable change is achieved by a mixture of the following approaches -

- existing programmes being given more money
- policy change : issuing new policy guidelines - ending previous policies and programmes
- creating new agencies
- making new appointments

Once such resources, guidelines or agencies have been set running, politicians will move quickly on to the other issues that are queuing up for their attention.

Of course, they will wish some sort of guarantee that the actual policies and people selected will actually enable the resources and structures used to achieve the desired state. But that is seen as a simple implementation issue.

Politicians tend to think in simple "command" terms: and therefore find it difficult to realise that the departments might be structured in a way that denies them the relevant information, support, understanding and/or authority to achieve desired outcomes.

Increasingly, however, people have realised that large "hierarchic" organisations - such as Ministries - have serious deficiencies which can undermine good policies eg

- their multiplicity of levels seriously interfere with, indeed pervert, information and communications flows - particularly from the consumer or client.
- they discourage co-operation and initiative - and therefore good staff. And inertia, apathy and cynicism are not the preconditions for effective, let alone creative, work!
- they are structured around historical missions (such as the provision of education, law and order etc) whose achievement now requires different skills and inter-agency work.

To move, however, to serious administrative reform is to challenge the powerful interests of bureaucracy itself - on which political leaders depend for advice and implementation. This seemed to require an eccentric mixture of policy conviction, single-mindedness and political security which few leaders possess. Whatever the appearance of unity and coherence at election time, a Government is a collection of individually ambitious politicians whose career path demands making friends and clients rather than the upsetting of established interests which any real organisational reform demands.

The machinery of government consists of a powerful set of "baronies" (Ministries/ Departments), each with their own (and client) interests to protect or favour. And Governments can - and do - always blame other people for "failure": and distract the public with new games - and faces. What one might call the "constituency of reform" seemed, therefore, simply too small for major reforms even to be worth attempting. For politicians, the name of the game is reputation and survival.

Increasingly in the last two decades leaders have known that something was wrong - although the nature of the problem and solution eluded them. To some it was poor quality advice - or management. To others it was lack of inter-Ministerial co-operation: or over-centralisation.

So a variety of reforms got underway from the late 1960s; and were accelerated when it was clear later in the 1970s that no new resources were available for government spending and, indeed, that there would have to be significant cutbacks. Some leaders got their fingers burned in the 1960s

during the first wave of over-optimistic attempts in America and Britain to apply management techniques from business to the affairs of government.

But the mood of caution has now changed. Encouraged by the examples set by countries such as Britain, New Zealand, Australia and Finland, government reform has become all the rage throughout the world in the past ten years. Initially this involved governments selling off industries such as Steel, Gas and Telecommunications.

The reform of government has, however, now spread deep into the thinking about how the basic system of government and of social services should be managed - and what that means for the role of government.

For the last decade the talk has been of the "**ENABLING**" state - of government no longer trying itself to produce things and to run services but rather focussing on strategic purposes and trying to achieve them by giving independent public agencies - national and local - budgets and guidelines in contractual form. Then relying on a mixture of independent regulation, audit, quasi-market forces and arm-twisting to keep them on target.

Now no self-respecting politician - left or right - wants to be left behind from something that is variously seen as the "march of managerialism" or the "march of the market".

And the changed climate gives more courage to challenge staff interests and traditions of public service - although countries such as Germany and France have traditions which do not make that easy. The inevitability of global change, the OECD or the European Union can, however, always be blamed!

The current ferment in and about the machinery of government reflects the enormous advances in the thinking about management and organisational structures over the past 15 years as commercial companies have moved away from mass production methods further into a "Post-industrial" era.

Technical change has killed off the slow-moving dinosaurs, given consumers new choices and powers: and small, lean structures a competitive advantage.

The very speed and scale of the change, however, pose issues for the political system which need to be confronted -

- do political leaders really understand the reasons for the changes in the machinery of government? Are they clear about the "limits of managerialism" - in other words about the defining features of public services "which seldom face market competition, rarely sell their services, cannot usually decide on their own to enter markets, are not dependent on making a profit and have multiple goals other than efficiency" (Goldsmith)
- do they have the determination and skills to manage a change programme in a coherent way : dealing with the resistance they will encounter ?
- as activities are delegated and decentralised (if not passed to the market), how will this affect the role of the politician ?

All of this requires new management skills in the public service: and strategic skills in our politicians.

Central Europe faces two particular challenges which has been well expressed by Balcerowitz - "The state has only limited resources of time, administrative capacity and money; and, secondly, the capacity of the state to deal with different problems varies, mainly because of varying informational requirements. State resources in transition economies are much more limited; while the fundamental tasks of systematic transformation and monetary stabilisation are far greater than in any developed market economy".

## 1. PRACTICAL GUIDANCE

*There are, obviously, various levels to change. The references in the first part of this section ("macro") should be of interest to those in senior positions - who are in a position to affect key processes and structures of government.*

*The references in the second section cover the improvement of our own inter-personal skills - and ways of working more effectively with others. Engaging in PAR involves both **content** and **process**. Both are equally important. The policies have to be appropriate – and implemented in an effective way. Too often the difficulties of implementation are under-estimated.*

### 1.1 Macro Change

Bryson J

Crosby B Leadership for the Common Good (Jossey Bass 1992)

- the first real step-by-step manual of change for those operating in the public domain who want - from the definition of the issue through mobilisation of an effective "constituency" of change to mechanisms of implementation and monitoring. My one criticism is that it tries too hard to make the relevant link with the academic literature. An Executive version should be produced!

Heidenheimer A.

and Hecl H Comparative Public Policy - the politics of social choice in America, Europe and Japan (3rd edition St Martin's Press 1990)

All Governments are presented with four types of choice -

- 1.Choice of Scope: particularly between public and private provision
- 2.Choices of Policy Instruments: eg the level (national/local) or direct provision/contracting/certification
- 3.Choices of Distribution
- 4.Choices of Restraints and Innovation

The book explores how various countries dealt with these choices in the 1980s - in relation to -

- Education Policy
- Health Policy
- Housing Policy
- Economic Policy
- Taxation Policy
- Income Maintenance Policy
- Urban Planning and Environmental Policy.

A very good primer for countries reconstructing their policy process.

Kanter R The Change Masters - corporate entrepreneurs at work (Unwin 1983)

- one of the best known of the management Gurus. This is an early work which deals with the attempts of the large bureaucratic (private) organisations she was then working with to reorganise to make themselves more relevant to their customers. In that sense it is highly relevant reading for policy-makers in Central Europe and Asia now attempting the same thing. It contains the marvellous, tongue in cheek, ten "**rules for stifling innovation**"

1. regard any new idea from below with suspicion - because it's new, and it's from below
2. insist that people who need your approval to act first go through several other layers of management to get their signatures
3. Ask departments or individuals to challenge and criticise each other's proposals (That saves you the job of deciding: you just pick the survivor)
4. Express your criticisms freely - and withhold your praise (that keeps people on their toes). Let them know they can be fired at any time
5. Treat identification of problems as signs of failure, to discourage people from letting you know when something in their area is not working

6. Control everything carefully. Make sure people count anything that can be counted, frequently.
7. Make decisions to reorganise or change policies in secret, and spring them on people unexpectedly (that also keeps them on their toes)
8. Make sure that requests for information are fully justified, and make sure that it is not given to managers freely
9. Assign to lower-level managers, in the name of delegation and participation, responsibility for figuring out how to cut back, lay off, move around, or otherwise implement threatening decisions you have made. And get them to do it quickly.
10. And above all, never forget that you, the higher-ups, already know everything important about this business.

Nutley A. and

Osborne S The Public Sector Management Book (Longman 1994)

- a very clear and practical introduction to the topic !

Osborne D

Plastrik P Banishing Bureaucracy; the five strategies for reinventing government (Addison 1997)

- after successfully starting the "reinventing government" movement, Osborne has now supplied us with the first real equivalent for the public sector of the myriad :managerial "cookbooks" which have tantalised private sector managers for the past decade or so (see The Witchdoctors – making sense of the Management Gurus on this issue). On the basis of a rather simplistic summary of British, New Zealand and American experiences the authors suggest that effective public sector reform has to deal with the "basic DNA of the public sector system – its **purposes, incentives, accountability systems, its power structure and its culture**. Successful reinventors have all stumbled across the same basic insights; that underneath the complexity of government systems there are a few fundamental levers that make public institutions work the way they do; that these levers were set long ago to create bureaucratic patterns of thinking and behaviour; and that changing the levers – rewriting the genetic code – triggers change that can cascade throughout the system".

From these five basic elements Osborne suggests Five Strategies –

- Core Strategy (Clarity of Purpose ; Clarity of Role ; Clarity of Direction)
- Consequences Strategy (Managed Competition ; Enterprise Management ; Performance Management)
- Customer Strategy ( Customer Choice ; Competitive Choice ; Customer Quality Assurance)
- Control Strategy (Organisational ; Empowerment)
- Culture Strategy (Breaking Habits ; Touching Hearts ; Winning Minds)

Perri 6 Holistic Government (Demos 1997)

He looks at the various devices which have been used in the attempt to achieve "joined-up action" eg

- Interdepartmental working parties
- Multi-agency initiatives
- Merging departments
- Joint production of services
- Restricting agencies' ability to pass on costs
- Case managers
- Information management and "customer interface integration"
- Holistic budgeting and purchasing (eg the Single Regeneration Budget)

He finds a place for all of these - but suggests that "the key to real progress is the integration of budgets and information; and the organisation of budgets around outcomes and purposes not functions or activities" (p44)

Peters G The Future of Governing ; four emerging models (Kansas Univ Press 1996)

- if there is one text I would give a serious ruler who asked for a clear and definitive text on the topic, this would be it! It's an extended essay which tries to identify the assumptions about problems" and "solutions" which hide underneath the various reform blueprints. The book opens with an examination of the "six old chestnuts which have guided our thinking about public service and its role in governance" -

- an apolitical Civil Service
- Hierarchy and rules
- Permanence and stability
- An institutionalised Civil Service - governed by a corporate body
- Internal Regulation
- Equality

Recent administrative reform challenges these canons and Peters argues that the reforms can be reduced to four schools of thinking - often confused in practice. They are - "market models" (A); "the Participatory State" (B); "Flexible Government" (C); and "Deregulated Government" (D).

	<b>Model A</b>	<b>Model B</b>	<b>Model C</b>	<b>Model D</b>
<b>Principal diagnosis</b>	Monopoly	Hierarchy	Permanence	Internal Regulation
<b>Structure</b>	Decentralisation	Flatter Organisations	"Virtual Organisations"	No particular recommendation
<b>Management</b>	Pay for performance	TQM; teams	Managing temporary personnel	Greater managerial freedom
<b>Policymaking</b>	Internal markets Market incentives	Consultation Negotiation	Experimentation	Entrepreneurial government
<b>Public interest</b>	Low cost	Involvement	Low cost Coordination	Creativity Activism

He reviews the nature and policies of each model - interesting points made include the following -

- The "public choice" theory underpinning the market model is North American reflects the widespread use there of agencies; "in most of the world of government....civil servants are forced to conform more to the wishes of their political and administrative masters and, ironically, some of the market-based reforms in these countries are creating just the type of agency autonomy that the theorists assumed to be the cause of much of the difficulty" (p27)

Finally he identifies **four basic questions** and looks at how each model tries to deal with them -

<b>Basic Question</b>	<b>A's response</b>	<b>B's response</b>	<b>C's response</b>	<b>D's response</b>
<b>Co-ordination</b>	Invisible hand	Bottom up	Changing organisations	Managers' self interest
<b>Error detection</b>	Market signals	Political signals	Errors not institutionalised	Accept more error
<b>Civil Service</b>	Replaced with market	Reduce hierarchy	Temp employment	Eliminate regulations
<b>Accountability</b>	Thro' market	Thro' consumer complaints	Not clear	Through ex-post controls

Peters G The Politics of Bureaucracy (5th edition Routledge 2001)

- Positively the best overview on public administration! Very comprehensive, strongly based on research, well referenced, up-to-date – and clearly written. It deals, in its 381 pages, with –

- The growth and change of government and administration
- Political culture and public administration
- Recruitment of public managers
- Problems of administrative culture
- Politics and public administration
- The politics of bureaucracy
- Paying for government
- The politics of administrative accountability
- Administrative reform
- Public admin in the 21st century

Pollitt C; The Essential Public Manager (Open University Press 2003)

Rose-Ackerman R Corruption and Government - causes, consequences and reform (Cambridge 1999)

See section 7 for more on this

Senior B Organisational Change (Pitman 1997)

- the clearest and most up-to-date introduction to the issues and literature on managing organisational change.

Stone Deb. Policy Paradox - the art of political decision making (2<sup>nd</sup> edition Norton 1997)

- a marvellous text which takes issue with the "rationalistic" approach one finds in most policy analysis books which "assume that problem definition is a matter of observation and arithmetic - measuring the difference between the two".

Part 2 of the book looks at how political systems deal with the four classic principles underlying most issues, arguing that "the ideal of **equality** can yield multiple distributions. **Efficiency** is a standard amenable to numerous conflicting interpretations. **Security** encompasses complex needs that change even as they are satisfied. **Liberty** conceived as *activity without harm to others* turns out to be a very small sphere in modern society; conceived as *control over one's life and well-being*, it is a perennial quest."

The goals of policy are thus "vague, contradictory and protean". The status quo is equally unstable.

Part 3 of the book looks at the **type of language** used by groups for portraying policy problems - **symbols; numbers; causes; interests; and decisions**.

## 1.2 Micro Change

These are texts aimed at what one can do within existing constraints at the level of one's own organisation.

Bryson J Strategic Planning for Public and Non-profit Organisations (Jossey-Bass 1988)

Covey S The Seven Habits of Efficient People (widely translated)

- highly recommended : the 7 habits are -

- be pro-active
- begin with the end in mind
- put first things first
- think win/win
- seek first to understand : then to be understood
- synergise
- "sharpen the saw" - ie keep mentally and physically fit

Doherty T and Horne T Managing Public Services – implementing changes – a thoughtful approach (Routledge 2002)

- beautifully written, well referenced and very practical (with lots of dialogue exercises at the end of each chapter).

Eden C and

Ackermann F Making Strategy - the journey of strategic management (Sage 1998)

Garratt Bob Learning to Lead (Harper Collins 1990)

The Learning Organisation (Harper Collins 1994)

- two short and very important books for all those who suddenly find themselves in "leadership" positions and expected to operate "strategically"

Heller R Essential Managers Manual (D Kimberley 1998)

- nice glossy, with couple of pages of very practical advice covering every issue likely to confront people in offices eg chairing meetings, communicating, appointing.

Doherty and Horne's Managing Public Services – implementing changes – a thoughtful approach beautifully written, well referenced and very practical (with lots of dialogue exercises at the end of each chapter).

Weisbord M Discovering Common Ground (Berrett-Koehler SF 1992)

- explains the "search conference" approach to strategic development – and gives many case-studies.

Whetten Developing Management Skills for Europe (Harper Collins)

- This is a course in itself: with some 50 pages apiece on -

- developing self-awareness
- managing stress
- solving problems creatively
- communicating supportively
- gaining power and influence
- motivating others, managing conflict
- empowering and delegating.

The considerable strengths of the book are its self-assessment approach and its concern to base practical (and logical) advice on the available research - which it clearly summarises.

**2. WESTERN PUBLIC ADMINISTRATION REFORM EXPERIENCE** - assessment and implications for concepts and processes

### **2.1 Civil Service Systems**

*Good up-to-date material on this has been missing until recently (Rowan's comparative book of the 1980s is both outdated and out-of-print).*

Bekke HAG Civil Service Systems in Comparative Perspective (Indiana Univ Press 1996)

- comes from joint workshops between European and American academics and covers such topics as

- the evolution of Civil Service systems
- internal labour markets
- the representativeness of civil services
- politicisation
- public opinion
- configurations
- reform agendas and experience (Hood is a must here)

Hood gives us an interesting classification of the scale of the move to New Public Management (NPM) on the basis of the political incumbency -



<b>NPM emphasis</b>	<b>Left</b>	<b>Centre</b>	<b>Right</b>
<b>High</b>	Sweden	Australia Canada New Zealand	United Kingdom
<b>Medium</b>	France	Austria Denmark Finland Italy Netherlands Portugal United States	
<b>Low</b>	Greece Spain	Germany Switzerland	Japan Turkey

Fandez J Good Government and Law (Manchester – British Council)

Hennessy P. Whitehall (Fontana 1990)

- this 740 page treatment of the challenges and changes faced by the British Civil Service in the 20th Century is probably unparalleled in the world literature. Anyone interested in public sector reform has to study it closely.

Ingraham PW The Foundation of Merit – Public Service in American Democracy (Hopkins 1995)

Moshe and Lane JE Comparative Public Administrations - volumes 1 and 2 (Ashgate 1998)

Etzioni -Halevy E Bureaucracy and Democracy (Routledge 1993)

Farrel H. Public Administration : a comparative perspective (Dekker, New York 1996)

Hood C and Peters Guy Rewards at the Top (Sage 1994)

Page Edward Political Authority and Bureaucratic Power - a comparative analysis : (1992 - 2nd edition Harvester Press)

Peters G Comparing Public Bureaucracies : problems of theory and practice (University of Alabama Press 1988)

Rowat DC Comparative Public Administration (1985) A lot has happened since the publication of this book - but it does contain a fascinating set of comparisons.

World Bank; Reforming Public Institutions and Strengthening Governance; a World Bank strategy Nov 2000

Which at last admitted 4 crucial weaknesses of their approach –

- It had taken a narrow and technocratic approach – in absence of deep and sustainable demand
- Relied on models of „best practice“ which had not always been feasible in the partic context

- Not always allowed the long-term commitment and systemic viewpoint needed to achieve lasting results
- Shortage of staff skills

In turn, following strategic changes –

1. Proceed only when country leaders are in driving seat; use 3 new mechanisms -
  - **internal rules and restraints**; eg audit; independent judiciary and central bank; ombudsman; civil service and budget systems.
  - **Voice and partnership**; decentralisation; surveys;
  - **Competition**; involves a rethinking of role of state.

2. start with a thorough understanding of what exists on the ground – and emphasise good-fit. Where conditions good – then policy advice or capacity building; otherwise – dialogue; sharing knowledge; empowering communities; fostering greater transparency.

The book contains in its Annexes a good summary of the various assessment tools WB now using.

WB            Ditto – implementation update (2003)

WB            Better Governance for Development in the Middle East and North Africa – enhancing inclusiveness and accountability (2003)

Ziller Jacques    Administrations Comparees (Montchrestien 1993)

The early SIGMA papers (see website [www.oecd.org/puma/sigmaweb](http://www.oecd.org/puma/sigmaweb))

## 2.2 Administrative reform Overviews

Barker L Transforming Government Services – a global perspective (PWC 1998)  
- reflects the American context.

Caiden GE Administrative Reform Comes of Age (Berlin : de Gruyter 1991)

- the definitive historical treatment to the public administration reform efforts of the past three decades in OECD countries. It is particularly strong on the various bureaucratic pathologies - and the range of responses to deal with them (although not as systematic as Hood and Jackson). For an academic book it is passionate and well written although its final recommendations are a bit of a damp squib. His assessment leads him to consider that externally imposed reform is generally disappointing; for the following reasons -

- many of those who decide on reform are themselves strangers : reform is just another assignment, from which they will soon move on
- many of those on whom the burden of reform have their own agenda and cannot be entirely neutral about reforms whose very nature can be seen as an indictment of them. Naturally they are resentful and suspicious: but they may also have a superior grasp of the situation to realise that the proposed reforms may worsen rather than improve the status quo.
- many public organisations are considered experts in their fields. How find equivalent or superior expertise?
- reforms are at the mercy of determined internal resisters : the deeper the resistance, the more needed the reform".

In these circumstances, the process of self-renewal has much to commend it - but "relies unduly on the interest, talent and capability of people within the organisation - and is restricted to how they define their problems and view the world". The last decade has, however, brought into being a variety of forces and mechanisms which now exert considerable pressure to keep performance high - such as performance audits, ombudsman offices, suggestion schemes, quality circles, codes of ethics and whistle-blowing protection. "These are all devices for drawing public attention to administrative deficiencies, mobilising public opinion behind reform, investigating bureau-pathologies, designing reform policies, marshalling support and resources for reform and generally monitoring the progress of reform. No longer is there any excuse for not knowing what to do and how to proceed. It is only a question of willingness". On this basis, he then looks at "Common Pitfalls" of reform viz -

### "A Bad Start

- **Imitation, not Innovation** ("the real mission of reformers is to find out why nothing was done previously, whether the current circumstances are more encouraging for adoption, and what should be done to get effective action if past proposals are still deemed appropriate")
- **Incorrect Diagnosis** ("faults usually occur for three reasons - unobtainable aims ; obstructive structures - eg the components may be inadequate in number or linkage - inadequate performance due to inappropriate staff expectations, qualifications, incentives, evaluation etc. "Correct diagnosis involves proper understanding and rating of these possible problem areas before deciding on a reform programme"
- Hidden Agendas
- Indecisive Approach
- Faulty Planning of the intervention
- Narrow Vision
- Inability to Command resources and Internal Support
- Absence of Feedback: Little Monitoring: Ignoring of Evaluation
- Goal Displacement"

After all that, his recommendations are a bit anti-climactic - but effectively underline the point that there are no short-cuts or magic formulae !

1. A good beginning is essential and requires thorough homework, an appearance of independence, commitment and open-mindedness
2. Innovation means tailoring reforms to specific conditions and avoiding needless repetition and abstract prescriptions

3. Diagnosis should be appropriate and focussed on - attainable objectives, facilitating structures and suitable performance
4. Hidden intentions should be avoided
5. Reformers have to be decisive and maintain the upper hand
6. Reformers have to plan carefully - and re-plan as circumstances change
7. Reformers have to be bold and imaginative
8. Reformers have to muster sufficient resources to realise reforms
9. Reforms should be monitored at all times
10. Reforms should be evaluated by the reformers, the reformed and the public at large
11. Goal displacement should be avoided."

What was also missing for me, as I read it in 1997, is a link with the huge literature of the 1990s on managing change - and organisational learning.

Eliassen K Managing Public Organisations (Sage)

Eur Foundation

for Q M Self-Assessment Guidelines for the Public sector (1997)

Hood C The Art of the State – culture, rhetoric and public management ((Oxford 2000)

Hood C

/Jackson M Administrative Argument (Aldershot 1991)

- a must for those contemplating any form of reorganisation : the authors identify no fewer than 99 different prescriptions and rationales for better public management which have been used over the centuries - each of which has its equally plausible opposite. See also Hood's later essay "Exploring variations in public management reform of the 1980s" in Bekke (above)

Hughes Owen Public Management and Administration : an introduction (Macmillan 1994)

- just as it says ! And all the more interesting because written from the Australian experience. At the moment the most comprehensive introduction to the issues.

McKevitt D Managing Core Public Services (Blackwell 1998)

- the texts on the "new public management" (NPM) are generally unsatisfactory. They consist generally of breathless reviews of the various changes which have taken place in the organisation of public services (particularly Anglo-Saxon) - contrasting the badness of the old with the vigour of the new.

Sometimes, but rarely, an attempt is made to assess the impact on the consumer of the reforms.

Even more rarely does anyone try to explore whether and why certain services are "non-marketable" and therefore need to remain "public" - and how we can avoid throwing the baby out with the bathwater. The early part of this book seemed to mark it out as an exception with its identification of three distinctive features to core "public services" -

- differential information between providers and suppliers
- the provision of socially important and interdependent services
- the concept of professionalism as a relation of trust and agency between providers and clients.

McKevitt also notes the three very different reasons (sovereignty, natural monopoly and social welfare) for the functions remaining in the public sector and concentrates on the latter (HEWS)

The emphasis then given to the concept of Street Level Public Organisations (SLPO) and the recognition that this creates a systemic tension between the legitimacy of claims from (a) government (b) clients and (c) professionals is a very helpful framework for thinking about the reforms of the past 2 decades. This - and his use of case studies from Sweden, New Zealand (particularly detailed on educational reform), Germany and England - allows the author to conduct a credible critique of the British reforms stemming from the stifling of the "voices" of the second two groups (also to suggest that they have suffered from inadequate use of legislation) - and anachronistic use of the mechanist model of organisations.

Sadly, however, the book does not live up to its early promise - its heavy use of quotations and examples crowds out the coherence of the chapters on investment and strategic control; and its constant references to later elaboration of tantalising allusions makes the text increasingly scrappy.

Peters G. The Future of Governing – Four Emerging Models (Kansas University Press 1996)

In one of the most useful books, Peters argues that the reforms can be reduced to four schools of thinking - often confused in practice. These are -

- "market models" (A);
- "the Participatory State" (B);
- "Flexible Government" (C);
- "Deregulated Government" (D).

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<b>Basic Question</b>	<b>A's response</b>	<b>B's response</b>	<b>C's response</b>	<b>D's response</b>
<b>How do we achieve Co-ordination?</b>	Invisible hand	Bottom up	Changing organisations	Managers' self interest
<b>How identify and deal with Errors?</b>	Market signals	Political signals	Errors not institutionalised	Accept more error
<b>What sort of Civil Service?</b>	Replaced with market	Reduce hierarchy	Temporary employment	Eliminate regulations
<b>Accountability</b>	Through market	Through consumer complaints	Not clear	Through ex-post controls

Peters BG and

Savioe DJ Taking Stock - Assessing Public Sector Reforms (McGill-Queen's University Press 1998)

Pollitt C

Bouckaert G Public Management Reform - a Comparative Analysis (OUP 2000)

Salamon LM

Beyond Privatization - the tools of government action (Urban Institute Press 1989)

Turner M

Hulme D        Governance, Administration and Development - making the State work  
(Macmillan 1997)

Wilson JQ      Bureaucracy - what Government Agencies do and why they do it (Basic Books  
1989)

- simply the definitive book on the subject! MacDonald's is a bureaucracy par excellence – so what makes it different from a government bureaucracy? Three reasons, according to Wilson - Government agencies can't lawfully retain monies earned; cannot allocate resources according to the preferences of its managers; and must serve goals not of the organisation's choosing, particularly relating to probity and equity. They therefore become constraint-oriented rather than task-oriented. He suggests that agencies differ managerially depending on whether their activities and outputs can be observed; and divides them into **four categories – production, procedural, craft and coping agencies**. Should be read in conjunction with the Osborne book (section 1.1).

World Bank    The State in a Changing World (World Development report 1997 OUP)

- the book which raises the question of whether the leopard can really change its spots ? From rubbishing the role of government, the WB in this publication starts to argue a very different thesis.

Wright V.      "Reshaping the State; Implications for Public Administration" West European Politics,  
pp 102-34 (1994)

- a very stimulating essay which lists the full range of interventions attempted by West European Government in the past 2 decades.

### 2.3 Case Studies (European and Comparative studies)

What purport to be comparative studies very often turn out simply to be juxtapositions in the same book of single country experiences - with no comparative overview or framework. Exceptions are Coombes, Olsen, Peters, Pollitt and Troia below.

Boston et al Public Management ; the New Zealand Model (Oxford 1996)

Colomer J. Political Institutions in Europe (Routledge (1996)

a concise and excellent introduction to the institutions of 15 countries in Western Europe written by some of the best European political scientists. Each chapter is written on a common format - helping comparison and covers parties, electoral rules and outcomes, parliaments, and national, regional and local governments

Coombes D and

Verheijen Public Administration Reform - exchanges between central and Western Europe (European Commission 1996)

- a very worthwhile exploration of west and central (Bulgaria, Hungary and Slovakia) European experiences through three perspectives ; east, west and then jointly !

Eliassen and

Kooiman Managing Public Organisations : lessons from Contemporary European Experience (Sage 1993)

Farnham D and

Horton S. New Public Managers in Europe - public servants in transition (Macmillan 1996)

- a rare collection of assessments of how the radical changes in organising government services have affected the working practices of officials in Belgium, Britain, Finland, France, Germany, Ireland, Italy, Netherlands and Spain.

Flynn N and

Strehl Franz Public Sector Management in Europe (Harvester 1996)

- looks at how Sweden, UK, Netherlands, France, Germany, Austria and Switzerland are dealing with issues of planning, budgeting and managing people : and the process of changes they have enacted in these systems in recent years. Some impressions to emerge are -

- the apparent inability of the centralised French system to reform itself
- the initiatives of the German municipalities (modelled on Dutch Tilburg model - and promulgated by their Association) and the disinclination until very recently of the Laender to modernise.
- the pragmatic and consensual approach in The Netherlands (eg "Great Operations" of centre-right in 1980s followed by "The Great Efficiency Operation" of centre-left in 1989 : decentralisation of 1991). This reflects the "corporatist" structures and thinking there.

Hayward

and Page Governing the New Europe (Polity 1995)

- very good on the wider institutional context.

Hulme

and Turner Governance, Administration and Development : making the state work (1997)

Ingraham PW The Foundations of Merit ; public service in American Democracy (John Hopkins 1995)

Kelsey Jane Economic Fundamentalism (Sage 1995)

- strong critique of the process and effects of the “capture” by ideologues of economic, social and administrative reform in New Zealand. A rare book which tells the story from the “other” side.

Lane JE (ed) Public Sector Reform – rationale, trends and problems (Sage 1996)

- academic treatments of developments in Australasia, Canada, Germany, Central Europe, UK, Netherlands, Nordic countries, France and Spain ; chapters also on fiscal decentralisation.

Naschold F. New Frontiers in Public Service Management - trends and issues in state and local government in Europe (de Gruyter 1996)

This is a detailed assessment (by a German academic) of the changes in public management in Finland: and the analysis is placed in the comparative OECD context, with particular reference to the Social Democratic impulse of the Scandinavian approach of the past decade. As such it is very helpful counter to the more managerial writing of the Anglo-Saxons which has so far dominated this literature.

## **OECD**

In Search of results (PUMA)

Administration as Service - the Public as Client (1987)

Governance in Transition - Public Management Reforms in OECD Countries (1995)

Budgeting for Results (1995)

Responsive Government (1996)

Synthesis of Reform Experiences in Nine Countries (PUMA 1999)

- Roles and Functions of Government (part I)
- Government of the Future - getting from here to there (part ii)
- 
- Opportunity, Strategy and tactics in Reforming Public Management (Schick)

see also the OECD Country Management Profiles which contain a summary of the steps each country has taken in the past decade or so to make its system more effective and responsive. Also more detailed country studies such as the Portugese.

Olsen J and

Peters G Lessons from Experience - experiential learning in administrative reform in eight democracies (Scandinavian University Press 1996)

Peters G Comparing Public Bureaucracies : problems of theory and practice (Alabama 1988)

Pollitt,

Hanney Public Management Reforms : five countries studies (Helsinki EDITA 1997)

- A very accessible study undertaken for Finland's Ministry of Finance and built around 27 questions which were applied to the NPM experience of Denmark, Finland, Netherlands, New Zealand and Britain. The questions for each country study (about 40 pages) were -

- The role of economic pressures in introducing NPM reforms
- Nature of executive government
- Relations between the legislature and the executive
- Whether NPM was a political priority
- Extent to which there was a theory



- Extent to which external models/examples were followed
- How extensive/selective (continuous) the changes were
- Dominant focus (the 3 Es)
- Extent to which there was an overall strategy
- Whether the strategic priorities have remained the same
- Extent to which new legislation has been needed
- Nature of steering arrangements
- Role of outsiders
- Impact of reforms on policy-making core of central Ministries
- Degree of "organisational fragmentation" which has occurred
- Whether human resource development changes have taken place
- Extent of public debate
- Reaction from media/ academia
- Extent and nature of evaluation of the reforms

Troia Sylvia Moderniser l'Administration - comment font les autres ? (les Editions Organisations 1995)

- an excellent comparative study of the reform process in France, Britain and Australia. Very practical.

Schick Allen The Spirit of Reform - managing the New Zealand State Sector in a Time of Change (87 page Study commissioned by the State Services Commission 1996)

- a crisp overview of a radical change effort which was heralded in an unusually forthright Treasury paper to the new Labour Government of 1987 about the "capture by departmental interests" of the policy machine and led in 1989 to a coherent reform effort strongly and quickly implemented which is now held up as a model to the rest of the world for its emphasis on the contractual culture - both detailed contracts between Ministers and departments (to achieve the separation of purchase from provision) ; and individual staff contracts. Although Schick emphasises the uniqueness of the endeavour, I have to say that it is, from the British perspective, all very familiar. The only difference seems to be its initial coherence - compared with the British incrementalism - **particularly in relation to accountability** (which "has not been an afterthought ; it was designed into the new system at the outset and ,as gaps have been identified, additional requirements have been imposed" p.73). The paper is generally positive about the changes although in several places serious points emerge - (a) most of the benefits flow from the managerialism inherent in the specific changes rather than the particular "transaction" theory underlying the programme ("letting managers manage" versus "making managers manage" which is the essence of the contractual approach) ; (b) the tangible gains are balanced by transaction costs, loss of sense of service and collective interest - he suggests at one point that ex-ante controls have simply been replaced by ex-post evaluations - and that the technocracy of "accountability" could undermine the more important "responsibility" which is the essence of managerial autonomy ; (c) the contract between Ministers and Departments is "open to fundamental questions. I am not persuaded that this approach is suitable for the majority of purchase situations facing government. It works only where there is real competition" ; (d) the gains could be lost - "final assessment of how much departments have been transformed must be reserved for it remains to be seen whether the new management style will survive one or more changes in leadership - I wonder whether in the rush to change, departments have been sufficiently sensitive to established values" (p52)

The paper is, however, concerned to look at detailed areas which now need attention - such as reducing the annual assessment of Chief Execs ; and simplifying the performance measures.

One of the most important innovations seems to be something which emerged recently - Strategic Result Areas (SRA) and Key Result Area (KRA). One of the interesting issues is that "outcomes" - defined as "the impacts or consequences for the community of the outputs of Government" - are the responsibility of Ministers and "outputs" of Chief Execs. As Schick argues "outcomes are measures that indicate progress, or lack of it, in achieving public objectives. They should be seen only as indicators of direction and be employed more for formulating policy than for maintaining accountability"

Two worrying points are made in the conclusion - "the accountability regime overloads departments. The multiplicity of information requirements can induce compliance behaviour which breeds passivity, reluctance to take risks etc. This may not yet be in evidence but it will not be long..."

"In the lit of public management, accountability and responsibility are often used interchangeably. But the words lead down different managerial paths. Responsibility is a personal quality that comes from one's professional ethic, a commitment to do one's best, a sense of public service. Accountability is an impersonal quality, dependent more on contractual duties and informational flows."

Suleiman

Waterbury The Political Economy of Public Sector Reform and Privatisation (Oxford 1990)

Woodhouse D In Pursuit of Good Administration (Clarendon Press)

### **Papers and Articles**

Aufrecht S and

Bun Li Siu "Reform with Chinese Characteristics : The Context of Chinese Civil Service Reform" Public Administration Review March/April 1995 - pp 175-82

Berlin Land Mut zur Reform - auf dem Weg zu einer neuen Unternehmenskultur des öffentlichen Dienstes (1995)

### **SIGMA Papers eg**

- Assessing the Impact of Proposed Laws and Regulations (no. 13)
- Checklist on Law Drafting and Regulatory Management in Central and Eastern Europe (no 15)
- Public Service Training Systems in OECD Countries (no 16)
- Administrative Procedures and the Supervision of Administration in Hungary, Poland, Bulgaria, Estonia and Albania (no 17)
- Law Drafting and Regulatory Management in Central and Eastern Europe (no. 18)
- Effects of European Union Accession – budgeting and financial control (no. 19)
- Effects of EU Accession – external audit (no. 20)
- Promoting Performance and Professionalism in the Public Service (no 21)
- Management Challenges at the Centres of Government ; coalition Situations and Government Transitions (no 22)
- Preparing Public Administrations for the European Administrative Space (no 23)

## 2.4 British Experience

Commoner Flynn N.

and E. Mellon Managing Public Services - competition and decentralisation (Butterworth and Heinemann 1992)

- a clear introduction to the new challenges.

Elcock H. Change and Decay in Public Administration in the 1990s (Longman 1991)

- good introduction to the developments in Britain.

Farnham D and

Horton S. Managing the New Public Services (Macmillan 2nd edition 1996)

- You've read the theory: now assess the practice. This is an excellent overview of the impact of the "managerialist" ethic which has been imposed on public services in Britain over the past 15 years on managerial functions in national and local government service and the health service generally - and services such as education and police. Chapters are included on strategic management (Elcock), Financial Management and Quality, Marketing, Personnel and I.T.

The conclusion lists the following benefits from the approach -

- budgetary responsibility has led to increased productivity (through shedding of staff) : and increased sense of staff responsibility which is generally welcomed
- services seem more rational : mission statements and business plans result in clear output specifications "leading to more accountability and continual review of standards and costs"
- PSO have to be more responsive to the customer : and the reduction of union power makes staff "more innovative and accountable to managers and client-groups"

Problems indicated about the new managerialism are -

- its philosophy is autocratic
- and politicised
- staff morale low
- transaction acts and "balkanisation"
- instances of financial irregularities from "competitive, contractual, insular and adversarial culture"

Ferlie E et al The New Public Management in Action (Oxford 1996)

- this is the first book to look at the British developments (mainly health) from the perspective of organisational theory. And critically.

Foster C and

Plowden W The State under Stress - can the Hollow State be Good Government? (Open University Press 1996)

- they attribute 10 principles to NPM ;

- separating purchasing public services from production
- serving consumers rather than bureaucratic, political or producer interests
- using market pricing rather than taxes
- where subsidising, doing so directly and transparently
- extending competition
- decentralising provision
- empowering communities to provide services
- setting looser objectives, and controlling outputs rather than inputs
- bringing about deregulation
- prevention of problems rather than cure, through planning

Much of their analysis is concerned with the different methods and effects of the first separation - particularly in relation to the role of the political system.

British Government in Crisis (Oxford and Portland 2005)

Hecló H and

Wildavsky A The Private Government of Public Money (Macmillan 2nd edition 1981)

- probably the most insightful book ever written about attempts to reform the budgetary process. Draws on interviews carried out with British policy-makers in the late 1960s and early 1970s.

Jackson Peter "The New Public Sector Management : surrogate competition and Contracting Out"  
: chapter in Privatisation and Regulation : a review of the issues

- very crisp overview .

Lovell Roger Managing Change in the New Public Sector (Longman 1994)

- Highly recommended as a handbook for public sector reform (in the British context). The first part draws on practice and research to give useful frameworks for thinking about such issues as -

"Gaining Support for Change" (chapter 4),

"Understanding People" (chapter 5),

"Communications during Change" (chapter 6)

"Managing Resistance to Change" (chapter 7)

"Helping Individuals cope with change" (chapter 8)

The second part looks at Instruments of Change (including empowerment, quality, the citizen's charter and contracting). The final section of the book considers 7 case-studies (eg DVLA, Benefits Agency, HMSO, Employment Service, the Stamp Office)

Metcalfé

and Richards Improving Public Management (Sage : 2nd edition 1990)

Morgan and

Murgatroyd Total Quality Management in the Public Sector (Open University Press)

Pollitt C and

Harrison S Handbook of Public Services Management (Blackwell 1992)

- The introduction gives a clear and coherent perspective on the confusing changes and buzzwords of the past decade. It first establishes what is **distinctive about public management** -

- accountability to politicians
- difficulty in establishing goals and priorities
- the complexity of organisational networks
- rarity of competition
- relationship between provision, demand, need and revenue
- processing people
- professionalism and line management
- the legal framework.

**Four themes** are then used by an equal mix of practitioners and academics to look at the challenges prevailing at the beginning of the 1990s in a range of UK public services viz

- evaluating
- controlling public service professionals
- new approaches to resource management
- strategic management.

It is very much "work in progress", reflecting the uncertainties and possible choices lying ahead in the 1990s. Now more of historical interest.

Rhodes RAW Understanding Governance – policy networks, governance, reflexivity and accountability (OUP Press 1999)

Rhodes R (ed) "British Public Administration : the state of the discipline" - spring 1995 issue of Public Administration

- the most thorough description and analysis of the dramatic changes in thinking about public administration and government in the past decade (see also Pollitt). Contains chapters on "Administrative Theory" (Dunsire), "Public Law" (Drewry), "Public Policy" (Hogwood), "From Public admin to Public management : reassessing a revolution ?" (Gray and Jenkins), "Intergovernmental relations" (Stoker), "Comparative Public Administration in UK" (Page), "Shifting sands: teaching public administration in a climate of change" (Greenwood) and "Emerging Issues in public administration" (Hood)

Willcocks L and

Harrow J Rediscovering Public Services Management (McGraw Hill 1992)

- most of the books on the new public management are written by public administration academics who bring a specific worldview to the experience. There are curiously few assessments of the radical changes from the management perspective - whether theorists or practitioners. This is one such collection ; the first section reviews "the current managerial ethos" (Vinten), "strategic management in public services" (McKevitt), "Innovation and organisational learning" (the eds). Part Two looks at such issues as - the manager/consumer interface, monitoring the manager, the manager as technologist : and the management of the Health, Social and Police Services.

## 2.5 Critiques

Clark John Managing Social Policy (Sage 1995)

- a sociological approach which suggests that most of New Public Administration is rationalist rhetoric to cover old-fashioned power ploys. The book covers social security, health, community care, criminal justice, leisure and local government.

Hirst and

Khilnani (eds) Reinventing Democracy : special autumn 1996 issue of Political Quarterly.

- very stimulating assessment of the implications for democracy of the recent developments in public management. "Politicians accept the necessity of markets as the main mechanism of economic allocation. However they continue to think of them in classical nineteenth Century terms, when in fact we have an economic system dominated by corporate organisations, not autonomous individual traders - and one in which the divide between public and private sectors has all but dissolved"

Kelsey (para 2.3 above)

Kirkpatrick I "The Worst of Both Worlds? Public Services without Markets or Bureaucracy"  
Public Money and Management Oct-Dec 1999

Minogue M Beyond the New Public Management – changing ideas and practices in governance  
(Elgar 1998)

Pollitt, C. Managerialism and the Public Services (Blackwell 1993)

Ranson S. and

John Stewart Management for the Public Domain - enabling the learning society (Macmillan 1994)

- bit long-winded and jargonistic (see title).

the symposium on "Reinventing Government" in the summer 1994 issue of Public Administration

the special feature on "Restructuring Government" in the summer 1994 issue of The Political Quarterly

"New Modes of Control in the Public Service" by Paul Hoggett in Public Administration : spring 1996

- this gives more detail on the argument that recent British developments have used the language of "competition and freedom" to conceal the reassertion of traditional forms of bureaucratic control.

### 3. "TRANSITOLOGY"

*Public administration reform effort takes place in very different institutional and cultural contexts. The differences within Western Europe and America are brought out in the literature cited in para 2. Change in post-communist societies is even more challenging by virtue of the number and speed of systemic change. Those working on PAR have to be sensitive to the comparative issues.*

#### 3.1 General

Agh Attila The Politics of Central Europe (Sage 1998)

- The first textbook on the subject written by a Central European (if one excludes such key emigres as Tismaneanu). The scope is comprehensive (as is the data) on such issues as

- The triple transition
- Building institutional democracy – parliamentary and presidential systems
- The role of the political parties – political culture and electoral behaviour
- Re-democratisation in Central Europe
- Democratisation in the Balkans
- The future of democracy in CE and the Balkans

And he brings – as a "local" – a fresh perspective to an area which was in danger of being colonised. Elster and Offe is the other text I would recommend – although it is more reflective of outsiders trying to make sense of the events of the transition.

Balcerowitz L. Socialism, Capitalism, Transformation (Central European Press 1995)

- now Leader of the Polish Freedom Union party (and Deputy Prime Minister and Minister of Finance in the post 1989 government) Balcerowitz remains also an academic economist interested in the development process. This is a collection of his papers of the past ten years. Must be rated as the most essential reading about the strategic choices during this period; and gives some useful concepts for debate about the events. Chapter Nine ("Understanding Post-Communist Transitions") places the post-1989 transition in the wider context of other political or economic transformations - to establish its uniqueness - indicates "three main fields of policy which determine the process"

macroeconomic stabilisation (S policy)

microeconomic liberalisation (L policy ; which enlarges the scope of economic freedom by removing state restrictions eg on setting prices or private operations)

fundamental institutional restructuring (I policy ; privatisation, stock exchange, reorganisation etc)

As he later argues (chapter 13), the shape and speed of implementation varies in each country, depending on factors distinctive to each country. He then offers a simplified schema to help analysis of economic strategies for particular countries, suggesting that **outcomes are caused by the interaction of (a) the initial and inherited position (b) exogenous developments and (c) policies.**

Chapter Ten ("Economic Transition in CEC : Comparisons and Lessons") elaborates this and represents the heart of the book. One of the interesting concepts is that of "hidden treasures" ("a composite of such enduring inherited conditions as small size, historical jewels and location" - eg Czech Republic - but also including human capital). And its opposite - "hidden burdens" (such as the economy's dependence on military production). "Macroeconomic stabilisation, microeconomic liberalisation (except in the labour market and possibly the credit market) and privatisation are the main processes of change where the radical approach seems to work the best. But there are others, including tax reform and the early establishment of genuine local government, which are important from both an economic and a political point of view - if not offering short-cuts"

He then offers a succinct definition of the role of the State for Central Europe - "The proper view of the state should consider two fundamental premises - (a) the state has only limited resources of time, administrative capacity and money and (b) the capacity of the state to deal with different problems varies, mainly because of varying informational requirements.

These explain why a well-focussed state is even more necessary in transition economies than in established market economies. State resources in transition economies are much more limited; while the fundamental tasks of systemic transformation and monetary stabilisation are far greater than in any developed market economy."

Chapter Thirteen - "Common Fallacies in the debate on the economic transformation in Central and Eastern Europe" - has a useful discussion about the implications of the variable "speed" of change of the S,L and I policies (see above), indicating that "at their core are the inherent human limitations of information processing and learning"

Bird RM, Ebel RD

Wallich CI Decentralisation of the Socialist State - intergovernmental finance in transition economies (World Bank, Avebury 1996)

Blejer M. and

Corricelli The Making of Economic Reform in Eastern Europe : Conversations with leading Reformers in Poland, Hungary and the Czech Republic (Elgar 1995)

Buraway M

Verdery K Uncertain Transition - Ethnographies of Change in the Postsocialist World (Rowman and Littlefield 1999)

- very salutary (if occasionally jargonistic) descriptions of everyday the coping and surviving techniques of various groups in different parts of the collapsed empire (Czech/Slovak Republics (librarians); Poland (peasants and salesmen); Russia (readers and mineworkers).

Cohen SF Failed Crusade – America and the tragedy of post-communist Russia (Norton 2001)

Coulsen (ed) Local Government in Eastern Europe : establishing democracy at the grassroots (Elgar 1995)

Culplan R (ed) Transformation Management in PostCommunist Countries - organisational requirements for a market economy (Quorum Books 1995)

CCET Transition at the Local Level (OECD 1996)

Darwisha K and

Parrott B Democracy and Authority in post-communist societies (Cambridge UP)

Elster J, Offe C

Preuss U Institutional Design in Post-Communist Societies - Rebuilding the Ship at Sea (CUP 1998)

- the only book so far which gives a rigorous and detailed assessment of how the triple revolution has been undertaken - in Czech Republic, Hungary, Slovakia and Bulgaria (the finishing order in the final assessment!). As befits a book written by two political scientists and a lawyer, it is stronger on the political, constitutional and social than the economic - but offers a provocative framework for considering the extent of the consolidation which has taken place. Agh (above) gives more of the political detail and a more local perspective.

Eyal G, Szelenyi I

Townsley E Making Capitalism Without Capitalists - the New Ruling Elites in Eastern Europe (Verso 1999)

Fingleton J. Competition Policy and the Transformation of Central Europe (CEPR 1995)

Fox E and Neven D

Frydman R

Murphy et al Capitalism with a Comrade's Face; Studies in the Postcommunist Transition (Central European Press 1998)

- probably the most accessible of the economic texts.

Havel V "The Sad State of the Republic" - 1997 Presidential address to the Czech Parliament (New York Review of Books March 2 1998)

- a powerful and typically clear and painfully honest assessment of the progress made after 7 years of freedom. Little wonder that he so unpopular amongst the political class! Could well serve as a benchmark for all transition countries.

Holmes L. The Democratic State or State Democracy? Problems of Post-Communist Transition (Jean Monnet paper, European University 1997)

- A very helpful overview of progress in the various post-communist countries, using the following criteria

1. competitive election of ruling elites, and political pluralism more generally: the latter includes a plurality of non-exclusive political parties, and elections that are held regularly, reasonably frequently, and that are genuinely competitive and secret;
2. a division of powers between the two or three main arms of the formal ruling part of the political system (i.e. the legislative, executive and possibly judicial arms), and a system of checks and balances;
3. a pluralistic approach to socialisation, especially in the areas of education and the mass media; moreover, these two areas must be free to question and criticise the regime and system;
4. full acceptance by both the state and society of diverse belief systems, notably religious, within the limits of the law;
5. respect for minority rights;
6. the rule of law;
7. a dominant political culture that both accepts and expects the first six points, and that encourages (and legitimises) political participation.

Krygier M "Traps for young players in times of transition" in East European Constitutional Review Fall 1999 vol 8 no 4 [www.law.nyu.edu/eecr](http://www.law.nyu.edu/eecr)

- brilliant overview of the some of the factors which make the assumptions and models underpinning foreign writing on transition partial and facile.

Linz J and

Stepan A Problems of Democratic Transition and Consolidation – S Europe, S America and post-communist Europe (John Hopkins 1996)

- a remarkable and definitive book – which initially establishes the basic classifications to conduct the assessments on the extent to which the transformations are consolidated and then analyses each country and region in considerable detail and profundity. They suggest a four-part classification for non-democratic regimes

- Authoritarian
- Totalitarian
- Post-totalitarian
- sultanistic

A "consolidated" democracy is one which combines behavioural (elite), attitudinal (public) and constitutional elements. Five conditions are suggested -

- Free and lively civil society
- Relatively autonomous and valued political society
- Rule of law to ensure legal guarantees for citizens' freedoms and independent associational life
- Usable state bureaucracy
- Institutionalised economic society

Each of these interacts with the others - and affects the outcome of transition. They also bring in five other important, but less major, variables - (a) the leadership basis of the prior regime, (b) who controls the transition, (c) international influences, (c) political economy of legitimacy and coercion (relationship between citizen perceptions of economic efficacy and of regime legitimacy) and (e) constitution-making environments.



An institutional approach is taken - which allows them to suggest that Havel's decision in 1990-91 of not reforming the Federal constitution (compared with the Spanish determination to get that issue out of the way before elections) led directly to the Velvet divorce. Such an approach does give a satisfactory balance in the argument between "path-dependent" choices and areas of autonomy where political leaders had real choices. This study is the culmination of a lifetime's study of the transformation process; is written elegantly and with very detailed references for follow-up study. A veritable encyclopaedia!

Lijphart A. Patterns of Democracy (Yale 1999)

Rose R, Mishler

and Haerpfer C Democracy and its alternatives - understanding post-communist societies  
(Polity 1998)

- a very useful starter for those unfamiliar with Central Europe, this book is based on the findings of the New Democracies Barometer which has, since 1991, polled public opinion in post-communist countries about the strength of attitudes (of various groups) to the new political and economic regimes. It suggests that four features are of central importance in assessing regimes -

1. does the government accept the constraints of the rule of law?
2. do institutions of civil society operate free of government control?
3. are there free and fair elections with mass suffrage?
4. is control of government held by officials accountable to the electorate directly or through a representative parliament?

The book explores both demand and side aspects; is positive about the rising demand for democracy; and about the unlikelihood of undemocratic regimes supplanting the present systems but suggests that certain countries are doomed to "broken-backed democracy".

Smith G The Post-Soviet States – mapping the politics of transition (Arnold 1999)

Stark D

Bruszt L Postsocialist Pathways - transforming politics and property in East Central Europe  
(Cambridge 1998)

- an American economic sociologist and a Hungarian political scientist have produced one of the few books which grapples realistically with the key dilemma confronting Central Europe - can the transformation of property regimes and the extension of citizenship rights be achieved simultaneously?

They look at the experience of privatisation in three countries - Hungary, East Germany and the Czech Republic - initially at the terms in which the debate on various options was couched (with a more sustained debate in Hungary).

Tismaneanu Reinventing Politics; East Europe from Stalin to Havel (Free Press 1993)

Fantasies of Salvation; democracy, nationalism and myth in post-Communist Europe  
(Princeton 1998)

- one of the most insightful commentators of the area - although curiously neglected in the literature!

Verdery K. What was Socialism, and what comes next? (Princeton 1996)

- the author was one of the few Western anthropologists who was allowed to do fieldwork in Central Europe - first in the 1970s (on Transylvanian villages) and then during the 1980s - and this is a fascinating collection of essays which give new perspectives on the "transition" process (the last chapter is entitled "A Transition from Socialism to Feudalism?"). She gives powerful vignettes of

how the Ceaucescu regime "stole people's bodies and time" and suggestive reflections on the language and symbolism of post-socialist nationalist parties in Central European countries (anti women she suggest as partly a reaction to the socialist push to equality). But the centrepieces are the essay on "**The Elasticity of Land** - problems of property restitution in Transylvania" and the piece on "Faith, Hope and **Caritas** in the Land of the Pyramids" - the first based on close study on how the Land Commission in her area carried out its work (how arbitrary and corrupt the local commune officials were); the second on the attitudes to and learning about money represented by the pyramid scheme based in Cluj during 1990-94.

The Political Lives of Dead Bodies - reburial and post-Socialist change (Columbia 1999)

### 3.2 Public Administration Reform in Central and Eastern Europe

*Not a great deal has yet been published on this crucial subject. Countries - and donors - initially thought that the issue was simply dismantling the state! It has now been realised that dealing with the "triple revolution" (pluralism; market; sovereignty) - with declining resources and a suspicious population - requires a more transparent, reliable and coherent machinery of government, with powers clearly defined and accountable.*

*In the last few years major studies have been commissioned on this issue in most "transition" countries - mainly by the World Bank and the European Commission. They are, however, not in the public domain. Those I have read are included in this list.*

Coombes D and

Verheijen T Public Administration Reform - exchanges between Central and Western Europe (European Commission 1996)

- a very worthwhile exploration of west and central european reform experiences through three perspectives ; east, west and then jointly. The Central European countries covered are Hungary, Bulgaria and Slovakia.

Hesse J.J. Administrative Transformation in Central and Eastern Europe : Toward Public Sector Reform in Post-Communist Countries (Blackwell 1993)

- see also chapter in Lane book in 2.3 above

Hollis G

Plokker K Toward Democratic Decentralisation - transforming regional and local government in the new Europe (TACIS 1995)

Waking Sleeping Beauty - Towrds a sustainable provision of social services in transitional countries (TACIS 1998)

- texts which came from TACIS projects in the Ukraine.

Jabes J (ed) Developing Organisations and Changing Attitudes: public administration in C and E Europe (NISPAcee 1997)

- the proceedings of the fourth annual conference of the network of institutes and schools of public administration in central and eastern Europe.

Manitoba

University Lexicon of Terms and Concepts in Public Administration, Public Policy and Political Science (Osnoy Pubs, Kiev 1998)

Sajo A Limiting Government (CEU )

Verheijen T Civil Service Systems in Central and Eastern Europe (Elgar 1999)  
(ed)

### Articles/papers

Balducci M. "Training Civil Servants in the administrations of Central Europe": The International Review of Administrative Sciences (March 1994)

Holmes S. "Can Foreign Aid Promote the Rule of Law" East European Constitutional Review Fall 1999 vol 8 no 4 [www.law.nyu.edu/eecr](http://www.law.nyu.edu/eecr)  
- rigorous critique of projects in Russia which argues that legal development projects have suffered from being either totally within government or totally within civil society and that they "must aim to foster the kind of consultative and cooperative state/society relations in Russia that will, in the long run, increase the responsiveness of government to social interests and opinions".

Jabes J and  
Vintar M. Public Administration in Transition (Proceedings of NISPAcee Bled Conference 1995)

Nunberg B The State after Communism - Administrative Transitions in Central and Eastern Europe (unpublished World Bank draft 1998)  
- there are, so far, very few detailed assessments of the changes in the various countries of their administrative machinery. This covers Poland, Romania, Hungary and the former DDR.

Srica "Managing People in Central Europe" in Garrison and Rees Managing People Across Europe (Butterworth 1994)

Verheijen T. and  
Dimitrova A. "Private Interests and Public Administration : the central and Eastern Europe Experience" - International Review of Administrative Sciences July 1996

World Bank- Govt  
of Ukraine Preparatory Mission Report - Public Administration (December 1996)  
suggests that "best practice in public administration includes -

- a high level of responsiveness and accountability to the people via Parliament
- effective mechanisms for monitoring and evaluating government performance
- the separation of policy-making, regulatory and service delivery responsibilities
- a stream-lined legislative process
- purposeful political leadership of the executive
- separation of political and executive functions
- pluralism in service provision
- decentralisation of functions to the lowest level where they might be performed efficiently and effectively"

This 50 page report gives a useful analysis of the continuing influence of the Soviet administrative system on the Ukraine (and other CIS countries) - with the confused role of the Presidential Apparat; the Cabinet of Ministers (generally not political!); and its Apparat (with 1500 staff!!). The results are encapsulated in para 159 of the report

- Too many bodies involved in the decision-making process
- Too many steps in key processes
- Number of bodies with overlapping functions
- Invisible key players
- Capacity for policy development and drafting of legislation poor
- Insufficient delegation - creating bottlenecks

Public Administration Reform Loan (March 1997)

The next step

<b>Reform Objective</b>	<b>Issues</b>	<b>Recommendations</b>
Effective Cabinet	<ul style="list-style-type: none"> <li>• Slow process of decision-making</li> <li>• Decisions failing to address current problems</li> <li>• Lack of priorities</li> <li>• Decisions contradict one another</li> <li>• Decisions not adhered to by all Cabinet members</li> <li>• Legislation not adopted</li> </ul>	
Effective Line Ministries	<ul style="list-style-type: none"> <li>• Opaque structure</li> <li>• Duplication</li> <li>• Limited involvement of Ministries in policy development</li> </ul>	
Pluralistic and transparent decision-making process	<ul style="list-style-type: none"> <li>• Consequences of policies insufficiently thought-through</li> <li>• Contradictory</li> <li>• Lack of compliance</li> </ul>	
A clear distribution of functions between layers - placing decisions at the lowest possible level	<ul style="list-style-type: none"> <li>• Functional overlap</li> <li>• Free social services are unaffordable</li> <li>• No choice</li> <li>• Lack of democratic control</li> </ul>	
A system of inter-governmental finance which matches resources to functions and grants local self-government a strong independent source of revenue while guaranteeing financial probity		
An effective democratically accountable management structure ensuring both national interest and local self-government	<ul style="list-style-type: none"> <li>• Parallel democratic mandates</li> <li>• Lack of democratic control</li> </ul>	
Civil Service	<ul style="list-style-type: none"> <li>• Low attractiveness</li> <li>• Perception of corruption</li> <li>• Limited prof and mant skills</li> <li>• Disempowerment</li> <li>• Lack of info technology</li> </ul>	

#### 4. POLICY ADVICE in Government

Barker A

/ Peters

The Politics of Expert Advice

Advising Western European Governments (both Edinburgh University Press 1993)

Blackstone T

Plowden W

Inside The Think-Tank - Advising the Cabinet 1971-1983 (Mandarin 1990)

Cockett R

Thinking the Unthinkable - Think-Tanks and the Economic Counter-Revolution (1931-1983) (Harper Collins 1994)

- a very gripping story of "how 30-50 intellectuals changed the face of the world" by setting up a global network to conduct an explicitly long-term struggle to challenge the "Servile State". It is particularly strong on the intellectual arguments in the 1930s and 1940s which marginalised those who felt that Keynes was playing to the political gallery (in accepting the rigidity of wages) and underestimating the dangers of inflation. (As an economics student in the early 1960s I was fed Keynes as a religion and was never aware of counter-arguments - although I was using the IEA pamphlets in my own courses in the early 1970s).

Also interesting for indicating the three levels to the seismic shift - the determinedly non-political approach of the IEA think-tank; the party-linked Centre for Policy Studies - and the "policy-engineers" of the Adam Smith Institute.

Davies E

Public Spending (Penguin 1998)

- the clearest book I've found on this issue.

Dror Y

Policy-making Reexamined (Transaction Books 1983)

Policymaking Under Adversity (Transaction Books 1986)

"School for Rulers" in de Greene (ed) A Systems-Based Approach to Policy-making (Boston 1993)

- the guru on policy advice perspectives and systems for Governments.

Meltsner

Policy Analysts in the Bureaucracy (California 1976)

- a neglected classic !

Parsons W.

Public Policy : an introduction to the theory and practice of policy analysis (Elgar 1995)

- at 675 pages, seems quite comprehensive ! More, however, for students than practitioners.

Plowden W

Advising Rulers

- looks at various European examples : and has an accessible piece from Dror.

Rubin I.S

The Politics of Public Budgeting - Getting and Spending, Borrowing and Balancing (2nd edition : Chatham 1993)

Stone Deb.

Policy Paradox - the art of political decision making (2<sup>nd</sup> edition Norton 1997)

- a marvellous text which takes issue with the "rationalistic" approach one finds in most policy analysis books which "assume that problem definition is a matter of observation and arithmetic - measuring the difference between the two".

Part 2 of the book looks at how political systems deal with the four classic principles underlying most issues, arguing that "the ideal of **equality** can yield multiple distributions. **Efficiency** is a standard amenable to numerous conflicting interpretations. **Security** encompasses complex needs that change even as they are satisfied. **Liberty** conceived as *activity without harm to others* turns

out to be a very small sphere in modern society; conceived as *control over one's life and well-being*, it is a perennial quest."

The goals of policy are thus "vague, contradictory and protean". The status quo is equally unstable. Part 3 of the book looks at the **type of language** used by groups for portraying policy problems - **symbols; numbers; causes; interests; and decisions**.

## 5. LOCAL GOVERNMENT/Decentralisation

### (a) Descriptions of Structures

Batley/Stoker Local Government in Europe - trends and developments (Macmillan 1991)  
Good, simple introduction

Bennett RJ Local Government in the New Europe (Bellhaven 1995)  
- Mixed bag. Expensive

Chandler Local Government in Liberal Democracies : an intro survey (Routledge 1993)

Coulsen (ed) Local Government in Eastern Europe : establishing democracy at the grassroots (Elgar 1995)  
- Interesting but expensive

Gibson J and  
Hanson P Transformation from Below – Local Power and the Political Economy of Post-Communist Transformation (Elgar 1996)

Hesse JJ Local Government and Urban Affairs : an introductory perspective

Humes  
Samuel IV Local Governance and National Power : a worldwide comparison of tradition and change in Local Government (Harvester 1991)

Norton A International Handbook of Local and Regional Government (Aldershot 1994)  
- expensive

Page E Centralism and Localism in Europe : the political and legal base of local self-government ( OUP 1991)

Rhodes R Control and Power in Central-Local Relations (Gower 1981)  
- Bit academic

Stewart J and  
Stoker G (eds) Local Government in the 1990s (Macmillan 1995)  
- Excellent introduction to the issues confronting British local councils

Wolman H and  
Goldsmith M Urban Politics and Policy : a comparative approach (Oxford 1992)

The Conduct of Local Authority Business (Cmnd 9797 HMSO 1986) : 300 page analysis and recommendations of an independent Inquiry into the operation of the local self-governments in Britain which were causing Central Government some concern. Could be the subject of a very interesting workshop in Central Europe !

Systems of Local Government in Central and Eastern Europe (Institute of Local Government Budapest)

(b) **Experience of Reorganisation**

Dente B and  
Kjelberg F      The Dynamics of Institutional Change : local government reorganisation in western democracies (Sage 1988)

Loughlin J and  
Mazzezy S.      The End of the French Unitary State ? Ten Years of Regionalisation in France  
(Cass)

Rowat DC      International Handbook on Local Government Reorganisation (Aldershot 1980)  
Schmidt

Vivien      Democratising France : the Political and Administrative History of Decentralisation  
(Cambridge University Press 1990)

Stoker G      "The Struggle to Reform Local Government 1970-1995" Public Money and Management (Jan-March 1996)

(c) **Local Government Finance**

Bahl Ray  
and J Linn      Urban Public Finance in Developing Countries (World Bank)

Davey Ken      "Local Government Finance in Europe" (1993)

Financing European Local Government - Special Issue of Local Government Studies winter 1992

Layfield Royal Commission on Local Government Finance (1976)

(d) **Management in Local Government**

Local Government Management Board publications - eg Planning for Change

"The internal management of local authorities in Britain - challenge of experience in other countries" : John Stewart Local Government Studies summer 1992

see also the various official reviews of British local government - starting with the classic Reports of the late 1960s (The Wheatley and Redcliffe-Maud Royal Commission Reports) to those published in the early 1990s as the Conservative government struggled to rationalise its attempt to place local government in a subservient role.

## 6. SOME WIDER PERSPECTIVES

*Effective government is not just about the mechanics of organisational structure and size. It is also about relations between politicians, advisers, officials, interest groups and society. It is also about how we think about rights and duties.*

Edelman M.     Symbolic Politics

Gibson T        The Power in our Hands (Jon Carpenter 1996)

- Tony has spent the last thirty years working with neighbourhood associations to develop new (simple) tools to help real local development. This has been based on two key assumptions – the first the incontrovertible one that over-powerful bureaucracy has led to major planning disasters; second that the power of the bureaucrats has been based on the language and formats they used - and forced others to use. Hence his use of joint planning games. This book makes the link between local development and global change.

Hague R, Harrop

and Breslin S   Comparative Government and Politics – an introduction (4<sup>th</sup> edition Macmillan 1998)

- Excellent reading for foreign consultants needing some perspective on their work. The latest edition is the very model of a textbook and reflects the massive political changes of the past decade and bases its treatment on “3 dimensions along which countries can be arrayed – authoritarian, consolidated-transitional and developed-developing”. Having established the basic concepts and the global context (“today all national governments operate in an interdependent world. Aid, data, deals, disease, drugs, information, migrants, money, movies, music, pollution, radiation, refugees, software, students, technology, tourists, values, weapons – all flow rapidly round the globe, giving national governments more challenges and more opportunities but also threatening their traditional authority” (p38), separate chapters look at **political culture; political participation; elections and public opinion; interest groups; political parties; constitutions; federal, unitary and local government structures; assemblies; the political executive; the bureaucracy; the military and police; the policy process.**

Each chapter has helpful comparative diagrams and data, country case studies and web-site as well as bibliographical references. You can get a sense yourself by consulting the support web-site [www.newcastle.ac.uk/~npol](http://www.newcastle.ac.uk/~npol).

Hann C and

Dunn E        Civil Society - challenging western models (Routledge 1996)

"t Hart P      Groupthink in Government - a study of small groups and policy failure (John Hopkins 1990)

Heidenheimer

AJ (ed)       Political Corruption - a Handbook (Transaction 1989)

Heywood P    Political Corruption (1997)

Kaufmann     Guidance, Control and Evaluation in the Public Sector (de Gruyter 1985)

Majone and Ostrom

Key J         UK Privatisation – 20 years on

Keane J       Civil Society - old images, new visions (Polity 1998)



Korten F        Getting to the Twenty First Century - Voluntary action and the global agenda  
(Kumarian Press 1990)

- For so long I had been looking for a clear guide for policy-makers engaged in development - at whatever level - to help us all understand why, notwithstanding the inspirational successes here and there, so much of the "Development Assistance" offered to poor areas seemed not only to fail but to fail abysmally. And how to construct an effective alternative. And here it is - clearly presenting not only the detailed evidence but laying out an agenda for action. The core of the argument is that the heart of development is social processes, institutions and politics, not money and technology. Although the latter are important because of the "growth model" which has underpinned western economics, only a small percentage of foreign assistance funds are invested in ways that produce a continuing stream of useful benefits (they have generally established "enclave economies" for the exploitation of natural resources). The governments and bureaucracies which receive the foreign resources represent the powerful who wish to reap rewards of that power: and therefore divert and subvert the monies from programmes which have real community benefit. And the Cold War meant that Western Agencies ignored this.

Korten has worked for The Ford Foundation and US Aid and, after 8 years with the latter, he had to admit that "it is beyond the capacity of large international assistance agencies to provide leadership as catalysts in achieving the changes required to empower the poor. Staff members are preoccupied with procedures that leave them no time for working on substantive issues of development: they have too much money, programmed in blocks that are too inflexible to be used in the opportunistic ways required by initiatives".

In 1986 he began to devote the majority of his time to work with NGOs and "found myself working with people who were limited only by their own imagination and capacity, not by the artificial constraints of a public bureaucracy burdened by legions of auditors, lawyers and contracts officers".

"Voluntary Action" is an ambiguous term - and Korten gives us a very useful 4-fold classification to distinguish "Public Service Contractors" and "Governmental non-governmental Organisations (GONGOS)" from the real VOs ("pursuing a social mission driven by a commitment to shared values") and "People Organisations". The latter is a particularly useful term - bodies "representing their members' interests, having member-accountable leadership and substantially self-reliant". Some NGOs are trying to make local councils POs!

Korten also recognises that most NGOs operate in the fields of "relief and welfare" and "self-reliant local development" although 2 new generations are opening up - "sustainable systems development" or strategic policy lobbying and "Facilitating People's Movements". "Fourth generation strategies look beyond focussed initiatives aimed at changing specific policies and structures. Their goal is to energise a critical mass of independent, decentralised initiatives in favour of a social mission" And ecological concerns figure crucially there.

Although the focus of the book is very much the "North-South" divide, I find its approach raises exactly the same issues and dilemmas we wrestled with in our community development strategy in industrial Scotland. And we had, in 1990, perhaps reached exactly the same point - as is recognised in some of the reports being produced on the pattern by the European Union : eg "**Social and Economic Inclusion through Regional Development** : the community economic development priority in European Structural Fund Programmes in Great Britain" (EC 1996).

When Corporations Rule the World (Earthscan 1997)

- an unfortunate title for such a positive book. This is a rare book which, accepting the critique of the way Western current life-styles and commercial structures are threatening the global future, tries to map out a practical agenda for change. It is considered such a key book that it has been the subject of two major reviews in the Public Administration and Management Interactive Journal ([www.pamij.com/](http://www.pamij.com/))

Kuttner R        Everything for Sale - the virtues and limits of markets (Knopf 1997)

Mulgan G.        Life After Politics - New Thinking for the 21st Century (Demos Foundation - Fontana 1997)

- the introduction suggests ten themes for the new millennium which have been the subject of recent contributions by various authors to this newest and most creative and prolific of British think-tanks -

1. The slow shift in the goals of politics from quantity to quality : economic growth and issues of distribution are being replaced by concern for quality of life : this includes issues such as the distribution of status, of work and of respect in none of which does government seem to have influence.
2. Globalisation : this may be less radical an economic change than has been claimed (Hirst). What is incontrovertible is the scale of interdependence now: "we have to think far more rigorously about how different systems interconnect: industries and environments, educational systems and political ones. Action on one point in the system can have unpredictable and damaging effects elsewhere." This is difficult for governments to grasp - let alone do anything about - "since they prefer to focus on only a handful of indicators, and few are well designed for a systemic view of the world".
3. Diversity : the political traditions of many countries (certainly Britain) have been built "on an assumption of homogeneity - the idea that there is a single public, a single nation : or a possibility of generalising the experience of one particular class". In the face of the collapse of this homogeneity, two dangerous errors are evident. One to try to put the clock back: the other "to believe that there is no limit to this diversity, that societies can cohere without any agreed values or frameworks for how to discuss and agree and allocate".
4. Technology : now reshaping governments and businesses and "with the potential to reshape the ways in which we think about human nature, criminality or education"
5. Reimagination of the state : "States are no longer so clearly defined by their sovereignty over physical space and their military capacity to defend it" but have a "twin sclerosis - locked into big interest groups (like the defence industry and farmers) and into stultifyingly bureaucratic ways of working". The article on "Governing by Cultures" is one of the best I've read on the reform of government.
6. Learning : "Such things as creativity and imagination have become vital economic tools - schools and colleges are no longer just machines for keeping children out of trouble or preparing them for repetitive menial tasks" : indeed every organisation needs to be able to learn and adapt, to mobilise the "gold in the heads of its employees, if it is not to lose trust and legitimacy". Hague's "Transforming the Dinosaurs" has some tough things to say about the educational system!
7. Gender : one of the biggest changes this century is in this relationship. Partly an economic shift : partly a cultural one as the old bases of masculinity in the military and manufacturing decline and we begin to think differently about home and work, public and private.
8. Community See ten
9. Relationship with Time : time is more visible as a resource. Questions are now being raised about its distribution between the overworked and underworked: between parenting and workplace (see Etzioni: 1994). "The two dominant decision-making techniques of the West, the election and the consumer market, are notoriously short-term: and information technologies are accelerating this. But all societies depend on the capacity to act in the long-term interest: this can be embedded in families, in personal choices, in institutions. Some societies are good at thinking far into the future. Many have been harmed by the "bias against the future" built into so many systems - and by the telescoping of time horizons in institutions as diverse as universities and banks"
10. Trust : "Many of society's most intractable problems - crime, governmental failure, under-investment - are, at root, problems of relationships."

Parsons W      Public Policy - an introduction to the theory and practice of Policy Analysis (Elgar 1995)

- stronger on the theory but a magisterial overview!

Pearce E      Machiavelli's Children

- a surprisingly rare discussion (by a political journalist) of the tactics used by politicians.

Perkin H      The Third Revolution - Professional Elites in the Modern World (Routledge 1996)

- a book which should be given to each individual when (s)he makes it into their country's "Who's Who" and is clearly part of the "system". This is a story of greed - of the "haves", those who have access to the resources and prestige and how they try to retain it - with catastrophic results for the stability of their countries. Perkin is Professor of History at North-Western University who has in previous books studied the rise of professional society. Here he looks at Twentieth Century

elites in the USA, England, France, Germany, Russia and Japan - and finds their behaviour equally deficient and morally irresponsible.

Rose Richard Problems of Party Government (Pelican)

- a comprehensive and readable overview of the processes involved in establishing and running governments.

Saul JR Voltaire's Bastards - the Dictatorship of Reason in the West (Random House 1992)

- a stunning critique of how "experts" have perverted modern society. "The dictatorship of absolute monarchy has been replaced by that of absolute reason. The development and control of intricate systems (and language) has become the key to power". He sets the creative spontaneity of democracy against the narrow rationality of advisers. See also Perkins and Chomsky. Methods of applied reason first used by the Inquisition - then Jesuits. "To every question there is a right answer". In 1627 Richelieu had 13 proposals in his "Rational reorganisation of Government" - since then Napoleon, Lenin and McNamara. The "middle-way" humanists represented by Paoli (Corsica), Jefferson.

First technocrats were military and their academies - whose products largely useless. The brilliant generals were those who had missed out on this training! ENA succeeded because of its first generation which came from the Resistance - it was downhill thereafter.

Some quotes -

- "The unquenchable thirst for answers is the feature of the 20th century. But what are answers when there is neither memory nor general understanding to give them meaning" (P136)
- "So long as there is a clear belief in the purpose of an organisation, those responsible will find a sensible way to run it. But if the heart of belief is only in structure, then the whole body will gradually lose its sense of direction - and ability to function".
- "Moral values have been attributed to such things as efficiency and speed"
- "We've spent half a century arguing over management methods. If there are solutions to our confusions over government, they lie in democratic not management processes" (p262)

Saul JR The Collapse of Globalism (Atlantic Books 2005)

SIGMA Ethics in the Public Service (OECD 1998)

Strange S The Retreat of the State - the diffusion of power in the world economy (Cambridge University Press 1996)

- "power over others is exercised within and across frontiers by groups who -
- are in a position to offer or withhold **security**, or to threaten it
  - are in a position to offer or withhold **credit**
  - control access to **knowledge and information**; and who are in a position to define the nature of knowledge
  - control the terms of **production**"

Political science, she argues, focuses too much on the State - "excusable when looking at the outbreak of war" when the main issue in the security structure was perceived as how to avoid conflict between states. "But once the security structure is redefined... (to include) all sorts of other risks - of long-term environmental degradation, of hunger, of shortages of oil, of unemployment and even of preventable disease - then the central role of the State crumbles" p33

Within production, she argues four things -

- privatisation has involved the retreat by the state from their participation in ownership and control and even from direction of research and technology;

- TransNational Companies (TNCs) have done more than states and international bodies in the past decade to redistribute wealth to poorer countries;
- TNCs have taken over the function of resolving labour-management disputes
- TNCs have escaped taxation and are operating as tax-farmers

"State power is now less effective in those matters that the market, left to itself, has never been able to provide - security against violence; stable money; clear system of law and the means to enforce it; a sufficiency of public goods like drains, water supplies, transport infrastructure. Their deficiency is not made good by greater activity in marginal matters" (p5)

She looks at the 10 powers/responsibilities still claimed for the state to prove her case -

- Protection of territory
- Maintain value of currency
- Choosing the form of capitalism
- Correcting cyclical booms and slumps
- Providing safety net
- Raising taxation
- Controlling foreign trade
- Provision of infrastructure
- Confer monopolies
- Monopoly of use of violence

This book therefore focuses on the (political implications of the) activities of **telecommunications**; **Insurance**; **Mafias**; the **International Consultancies (the big 6)**; the econocrats of **international organisations**.

#### Mad Money (1998)

Widdicombe The Conduct of Local Authority Business (Cmnd 9797 HMSO 1986)

- a 300 page analysis and recommendations of an independent Inquiry into certain aspects of local self-governments in Britain which were causing the Conservative Government some concern about the "representativeness" of local government eg the political nature of some expert appointments, exclusion of opposition councillors from Policy Committees and certain left-wing policies. Could be the subject of a very interesting workshop in Central Europe ! The later Salmon Report dealt with much more serious aspects of corruption on the part of national and Conservative politicians.

Wolmar C Broken Rails – how privatisation wrecked Britain’s Railways (Aurum Press 2001)

Special 1995 Issue of Parliamentary Affairs on "Sleeze" in European Public Life

Special 1995 Issue of Public Administration on "The State of British Public Administration"

Zuege Alan "The Chimera of the Third Way" Socialist Register 2000 (Merlin 1999)

## 7. Selective Bibliography on DEVELOPMENT

*I have always found it annoying that there are separate literatures for urban development, regional development, community (and/or social) development and "third world" development.*

*In principle it seemed obvious to me that the basic processes were similar : and that each could learn from the other. So I have simply collected these references which clearly differ in their focus, some being concerned with the theory, others (OECD) with the practice - and a few with the necessary combination of both.*

Berger Peter Pyramids of Sacrifice - political ethics and social change (Penguin 1974)

- a very thoughtful assessment of the systems choices (of socialism and capitalism) apparently facing the "underdeveloped" countries at this time. Good reading still for younger people.

Brohman John Popular Development - rethinking the theory and practice of development (Blackwell 1996)

- seems to be THE definitive overview of the way different ideological "scribblers" have affected the practice of third world development in the past few decades. And a detailed outline of the alternative approaches which, being grounded in people's lives, offer more realistic chances of working.

Cavanagh J, Beyond Bretton Woods - alternatives to the Global Economic Order (Pluto 1994)

Frank Andre G Underdevelopment of Development : an autobiographical essay (1991)

- one of the most persistent critics of "development".

George Susan One of the most critical writers on "development", her books are clear and compulsive : see -

How the Other Half Dies - the Real reasons for World Hunger (3rd edition : Penguin 1986)

The Debt Boomerang - how third world debt harms us all (Pluto Press 1992)

George S and

Fabrizio Sabelli Faith and Credit - the World Bank's Secular Empire (Penguin 1994)

- Communism may have inflicted great social, ecological and moral damage to Central Europe : our contribution in the West to world misery has been the World Bank which has, with 250 billion dollars, destroyed the lives of so many in "developing countries" in the last 2 decades in the rhetorical pursuit of "development" and the eradication of poverty (and with little compensating benefit measured even in their restricted terms) ! The authors convincingly suggest that such a betrayal of the Bretton Woods hopes can be explained only in religious/ideological terms (see also Rich : and Woodham's "The Great Irish Famine")

They quote Prof Colin Stoneman on the Zimbabwe experience : which had successfully taken 9 bank loans (646 million dollars) between 1980 and 1987 and - despite drought and S African-sponsored violence - was doing OK - if with a protected economy : Bank technical advice was to process another loan in 1987 but refused by Board because of danger of country succeeding "with the wrong policies".

Also the critical Japanese government report of 1991: but above all the 1992 Morse report on the Sardar Sarovar Dam of Narmada - and the 1992 Wapanhans Report, both commissioned by Preston the WB President. Both exposed the widespread project failures: and failure to observe assessment procedures.

"Thus far the Bank has succeeded in having its cake and eating it: preaching market theology while constantly misreading the market and avoiding the market consequences of those misreadings. The Bank cannot go bankrupt (repayments affect the country ratings). Thus the Bank has no incentive to loan only for viable ideas: and yet its surplus is 1 billion dollars a year - and retained earnings 14 billion". (p 93)

This book (and that by Rich) demonstrate the extent to which the Bank is a closed system: the Executive Directors (despite their formal qualifications) are civil servants and are starved adequate information. The only employee to emerge with credit is Hermann Daly (environmental economist for 6 years) whose swan song on 1994 includes such injunctions as -

- stop counting the consumption of natural capital as income

- tax labour and income less : and throughput more
- maximise the productivity of natural capital in the short run and invest in increasing its supply
- move away from the ideology of global economic integration by free trade and export-led growth and toward a more nationalist orientation that seeks to develop national production for internal markets as the first option.

Habitat An Urbanising World : global report on Human Settlements (Oxford 1996)

Haq Mahbub Reflections on Human Development (Oxford University Press 1995)

- written by the man who created the UN Human Development Index which is now produced annually as the first real attempt to offer a different way of measuring the economic health and prospects of countries than the discredited GNP. The book explains the thinking behind the Index which is at an early stage of evolution - but already offers a very useful policy framework for governments.

Hirschmann A A Propensity to Self-Subversion (Harrod 1995)

- one of the most thoughtful writers on development

Lai D. and

Myint H. The Political Economy of Poverty, Equity and Growth (Clarendon Press 1996)

- which looks at the reasons for the very different results achieved by broadly similar developing countries in the past 4 decades (Ghana and Indonesia had in the 1950s with the same income per head : now Indonesia outstrips Ghana by a factor of most 4). The book's originality lies in its exploration of the different political pressures for negative government behaviour arising from the particular mix in these countries of land and labour. The authors divide states into 2 groups - the "autonomous" (usually despotic, but sometimes "benevolent" like Hong Kong and Singapore) largely free from pressures from the governed and the "factional".

Leftwich

A. (ed) Democracy and Development (Polity 1996)

Leys C. The Rise and Fall of Development Theory (Currey 1996)

- a good complement to the Brohman book.

OECD Project Aid : Limitations and Alternatives (1986)

Rich Bruce Mortgaging the Earth : the World Bank, environmental impoverishment and the crisis of development (Earthscan 1994)

- a closely-documented study, drawing on the internal (and profoundly critical) reviews of the early 1990s, which not only rehearses the major failures (economic, social and ecological) of the Bank's projects but then attempts to explain exactly why the hopes of Bretton Woods have so dismally been perverted.

Robert McNamara (President from 1968 to 1982) emerges as the modern Faust - embodying (a) the conceit that nature could be controlled by modern technology in pursuit of a development ideology, (b) a top-down system concerned simply to impose large projects on governments and (c) an internal organisational style and structure that is totally unaccountable.

Despite new rhetoric and staffing, there is no indication that anything has changed - or can ever change. After all, free-market liberalism emerged as the global winner in 1989 - just 2 years after the Bank restructured itself around Thatcherite "Structural Adjustment": and an "appropriate development" agenda would require more small loans awarded after a negotiation process which is alien to the Bank - requiring expertise it doesn't have.

Rodwick

and Schon      Rethinking the Development Experience - essays provoked by the work of AO Hirschmann (Brookings 1994)

Rondinelli DA   Development Projects as Policy Experiments (Routledge 2nd ed. 1996)  
- someone with long experience who (rightly in my view) is trying to broaden the usual development perspective, incorporating the Wildvasky approach of "self-learning" organisations which has become so fashionable in the management literature of the 1990s. This is an "insider's critique" concerned to push the system from within. It is elegantly written but needs to be read in conjunction with the Brohman book. If there are enough people pushing from inside: and enough in popular movements and projects, we might get there!

Sachs W.        The Development Dictionary - a guide to knowledge and power (Zeld Books 1995)  
- this is not Jeffrey Sachs : who has take neo-liberalism to Afica and Russia !

de Soto H.      The Other Path (Harper 1989)

Theobald R.    Corruption, Development and Underdevelopment (Duke University Press 1990)

Todaro Michael Economic Development (Longman 5th edition 1994)  
- an example of the traditional textbook, with glossary.

Toye J          Dilemmas of Development - reflections on the counterrevolution in Devpt thought and policy (Blackwell 2nd ed 1993)  
- if you want a clearly written intellectual history of the two decade long argument amongst economists, this is it ! A very stimulating read. But for the action, read Brohman.

Trainer Ted    Developed to Death : rethinking Third World Development (Merlin 1989)

Wade Robert   "Japan, the World Bank and the Art of Paradigm Maintenance : The East Asia Miracle in political perspective" in New Left Review May/June 1996 pp3-36

White John    The Politics of Foreign Aid (Bodley head 1974)  
- in those days it was possible for one person to encompass the literature : and to take a logical and philosophical approach. Since then the specialist technologists have taken over - and we have lost the overview!

## **8. MANAGING THINGS BETTER** - learning from the literature

*All of us manage - different things. It could be*

- *our time*
- *staff*
- *a project*
- *an organisation*
- *our relationship with others*
- *change*

*And there is helpful literature on all of this. Not so many people manage entire organisations - responsible for deciding objectives, programmes, structures and budgets although this tends to be the focus of most textbooks. So many of the management textbooks seem rather remote from our concerns.*

*But people are faced with these choices now in Central Europe and Central Asia - and want answers to very real questions about how to structure the work of their organisations.*

*And, in Western Europe, as organisational units get smaller and managerial responsibility increases, people do need to know how to go about setting organisational objectives and achieving them. The rest of us do occasionally feel we would like a certain understanding of the world we are working in - and the scope for change.*

*We need to be careful - if not sceptical - about a lot of the management "bestsellers" which have poured out from America in the past decade, ever since the Peters and Waterman book on excellence.*

*Publishing such "blockbusters" is big business - and the books have become a bit like any other entertainment or consumer product, simplistic and broadly similar! (Pierce Jon and Newstrom J have produced a very helpful summary of many of them in The Manager's Bookshelf (Harper Collins 1996 4th edition). And you will find an interesting critique of the phenomenon in Huczynski's Management Gurus and Salaman's Human Resource Strategies (Sage 1992). For a good combination of the approaches, see The Witch Doctors : Making Sense of the Management Gurus (Heinemann 1996)*

*The "solid" books are those based on a rigorous assessment of the writings of previous practitioners and researchers. Handy (1976), Lessem and Whetton are the clear leaders here, the first two being strong on how the various concepts and approaches have developed and changed. Thompson's Strategic Management – awareness and change (1997) is highly recommended for those with senior responsibilities.*

*Whetton is particularly recommended as a manual for self-guided learning: it includes many self-assessment tests and is worth all the other "instant improvement" management books put together ! I have, arbitrarily, used the following questions to point the reader in the direction that may be of most relevance to his/her particular interests and needs -*

*A - How do organisations work?*

*B - What choices do we have for their structure?*

*C - How do we work out what our organisation should achieve?*

*D - How do we try to ensure that our (bit of the) organisation is actually achieving?*

*E - How do we know whether we are achieving?*

*F - How do I develop my skills?*

*G - What are the problems which we can anticipate working in teams from different countries -and how do we deal with them?*

*H - Business plans and project Management*

*I – Managing Change*

*I know many of you will be sceptical of books. I too am a practical man: but believe there is nothing so practical as a good theory. In going beneath the surface of things and trying to identify causes and patterns, you can be saved so much later waste of time, money and effort!*



## A. How do organisations work ?

Adirondack S Just About Managing (London Voluntary Service Council 1993)

- probably the best manual to use in training courses : very clear, simple and practical.

Cole GA Management : Theory and Practice (4th edition : DP Publications 1993)

- very useful as a checklist of practical action (eg on personnel selection : training)

Handy, Charles Understanding Organisations (Pelican)

- if I had to recommend only one book on management, this would be it! Written by someone who has acquired the dubious privilege of being known as Britain's first management guru, he claims only to help the readers identify for themselves "interpretive schemes to clarify your organisational dilemmas". A marvellously lucid style, clear summaries and good layout help the book succeed with this task.

His basic approach is to select six key concepts - motivation : roles : leadership : power and influence : group dynamics : and culture - and then apply them to some practical issues eg organisational design : politics and change : and being a manager.

In the introduction he suggests that management literature can be divided into seven schools of thought - scientific management : human relations : bureaucratic : power/conflict and decisions : technology : systems : institutional.

Using such a typology we can see two things - first that the new public management discussed in chapter 4 is a move from bureaucracy to scientific management : second that when the problems of this approach are recognised there will be a movement toward one (or several) of the other schools.

- see also The Age of Unreason (Hutchinson 1989)

Inside Organisations - 21 Ideas for Managers (BBC 1990)

The Empty Raincoat (Hutchinson 1994)

- the most sober and incisive writings about the nature of the economic and social changes of the contemporary world and their effects on organisational structures.

Lessem R Global Management Principles (Prentice Hall 1988)

- It takes the management literature (and styles) of the twentieth century - and classifies them according to points of the compass. "Northern" is traditional bureaucracy : "Western" celebrates the individual : "Eastern" the collectivity and "Southern"

He then goes on to argue that organisations and individuals can also be seen to go through such phases. It is undoubtedly the most inter-disciplinary of the management books : and gives very personal vignettes of the writers and their context.

Mullins L Management and Organisational Behaviour (Pitman - 3rd edition 1993)

One of the most accessible of introductions to the field! 730 pages - with excellent layout and diagrams - on such topics as

- group processes (pp 207-224)
- leadership (chapter 8)
- organisational goals and structures
- the manager's job (pp 382-389)
- managerial effectiveness (chapter 13)
- job satisfaction
- management control (pp 553-565)
- selection (pp 616-637)
- organisational development (chapter 20)

**B. What choices do we have for their structure ?**

"Understanding Organisational Structure" in The Public Sector Management Handbook is helpful in identifying issues to help managers choose structures, showing that there are only 5/6 basic models, the choice of which is very much determined by the type of service you are running.

See also chapter 2 of Carnall : chapter 9 of Handy and chapter 10 of Mullin.

**C. How do we work out what our organisation should achieve ? (see also Managing Change list)**

Cole GA Strategic Management (DP Publications 1994)

- the easiest introduction to this subject. Although designed for a business audience, it is highly relevant to the public sector. Each chapter is about 15 pages long - covering such topics as -

- assessing the environment (eg SWOT analysis)
- formulating strategy
- implementing
- organisation culture
- managing change
- measuring performance

Fisher, Fred Guide for Managing Change for Urban Managers and Trainers (United Nations Habitat Centre 1991)

- an excellent training manual both for urban managers and for urban management courses, it adds an essential first stage to the classic cycle of decision-making and then offers for each very useful group exercises and insights ie -

- building a problem-solving relationship
- identifying problems and opportunities
- analysing the problem
- planning a course of action
- experimenting and redesigning
- implementing
- evaluating

In the second part of the book, issues such as strategic planning, organisational culture and leadership are addressed - as well as the critical question of "what to do on the return to the office"

Heirs Ben : The Professional Decision Thinker (Grafton 1989)

- one of the few books which gives proper treatment to the earlier stages of decision-making which practitioners normally ignore (at their peril)

- Stage One : Defining the question - and gathering the relevant information
- Stage Two : Creating Alternatives - and Tolerating Waste
- Stage Three : Predicting the Future Consequences - and planning for Contingencies
- Stage Four : The Decision - Deciding on Probabilities, Risks and Rewards

Hudson Mike Managing Without Profit - the art of managing third-sector organisations (Penguin 1995)

- An excellent book which has a slightly misleading title : it is concerned more with helping non-profit organisations develop an effective sense of direction and strategy - and is highly relevant for political parties and those in charge of local government ! Very strong on the role and work of Boards and of Chief Executives and Chairmen - and on the relationships between the different partners to such ventures. The best of its kind. Complementary to Adirondack.

Lynch R. Corporate Strategy (Pitman 1997)

Mintzberg H The Rise and Fall of Strategic Planning (Prentice Hall 1994)

- one of the key American management thinkers of the 1980s, this is a definitive overview of the reasons for the failure of so much strategic work: and a good guide on how "strategic thinking" can realise its promise.

Richardson Bill

and Roy Business Planning : an approach to strategic management (2nd edition Pitman 1992)

- a more advanced (and detailed) textbook than Cole's, its diagrams are particularly helpful.

Thompson J. Strategic Management – awareness and change (Thomson 1997)

- Very well presented ; highly practical – and yet clearly based on a firm grasp of both the literature and relevant practice (mainly private sector). Definitely the book to buy – and constantly refer to!

Wilson G. Problem Solving and Decision Making (Kogan Page 1996)

- you can't get much more practical than this book, which I would give to everyone who is going to be involved in a task force !

#### **D. How do we try to ensure that (our bit of the) organisations are actually achieving?**

"Control" is the big issue for the public sector in Central Europe: it is still not sufficiently appreciated how counter-productive control mechanisms are! (See chapter 17 of Mullins for a useful overview).

Carnall Colin Managing Change in Organisations (Prentice Hall 1990)

- an accessible summary of relevant organisational literature with many practical suggestions on how to make your organisation more effective (chapter 11 has some helpful checklists)

Cleese J.

and Skynner R Life - and how to survive it (Mandarin 1994)

- definitely one of the most helpful books of the decade ! A therapist and leading British comic (!) have a Socratic dialogue about the principles of healthy (family) relationships and then use these to explore the preconditions for healthy organisations and societies : and for leadership viz -

- valuing and respecting others
- ability to communicate
- willingness to wield authority firmly but always for the general welfare and with as much consultation as possible while handing power back when the crisis is over)
- capacity to face reality squarely
- flexibility and willingness to change
- belief in values above and beyond the personal or considerations of party.

Cole GA Organisational Behaviour – theory and practice (DPP 1995)

- Clearly presented – and very practical -as with all his writings.

Furnham Adrian

Gunter Barrie Corporate Assessment -auditing a company's Personality (Routledge 1993)

- very useful practical manual for taking stock of our organisation ! Strongly recommended. See also final chapter of Carnall.

Hutchinson C. Vitality and Renewal - a Manager's Guide for the 21st Century (Adamantine Press 1995)

- using charts and checklists, the book aims to make big issues such as sustainable development understandable to senior and middle managers : and then help them put ideas into action. Chapters 9-12 are very strong on managing change.

Senge, Peter The Fifth Discipline (Doubleday 1990)

The fifth discipline is "systems thinking" which fell out of fashion in the early 1970s (see Mintzberg). Senge summarises its lessons for management as -

- today's problems results from yesterday's solutions
- push hard : and the system pushes back even harder
- behaviour gets better before it gets worse
- the best way out is to go back in
- the cure can be worse than the disease
- faster is slower
- tiny changes may produce big results

Supposedly the most widely-read book on the latest fashion of "organisational learning", it is for me overly complicated. (The first four disciplines are "Personal mastery", "Mental Models", "Shared Vision" and "Team Learning".) I prefer the marvellous compendium he has edited - The Fifth Discipline Fieldbook (Nicholas Brealey 1994)

E How do we know whether we are achieving ? - particularly for public services

Audit Commission Reports - this is a UK agency which produces the public equivalent of benchmarking reports.

N Carter, R Klein

and P. Day How Organisations measure success - use of performance indicators in government : (Routledge 1992)

- an excellent overview of this subject which is at the heart of the British developments of the past decade : contains not only a clear conceptual introduction, but detailed chapters on how the issue was dealt with in Britain in such fields as health and police.

Haq Mahbub Reflections on Human Development (Oxford University Press 1995)

- written by the man who created the UN Human Development Index which is now produced annually as the first real attempt to offer a different way of measuring the economic health and prospects of countries than the discredited GNP. The book explains the thinking behind the Index which is at an early stage of evolution - but already offers a very useful policy framework for governments.

## F. How do I develop my skills ?

Dainty P. and

Andersen M. The Capable Executive - effective performance in Senior Management (Macmillan 1996)

- written on the assumption that the general management books don't have a great deal to say to those who suddenly find themselves elevated to high level tasks. It certainly gives a clear and up-to-date treatment of key issues - structured around the personal, interpersonal and strategic dimensions. The core personal capabilities are cognitive and emotional maturity : and self-development capacity. The need for the balance between process and purpose is well presented. The "Interpersonal" (or process) capabilities are insight/influence, leadership and integration (team work). The "Directional" (or purpose) capabilities are organisational ; and external understanding ; expertise and action-structuring.

Francis D. and

Woodcock M. The New Unblocked Manager - a practical Guide to Self-Development (Gower 1996)

- The latest version of an approach the two authors have been working at for the past 15 years, namely twelve "management competences" are identified -

- self-management
- personal values
- leadership vision
- creativity
- personal development
- problem solving and decision making
- objective setting
- management style
- resource management
- team development
- people development
- customer focus

Garratt Bob Learning to Lead (Harper Collins 1990)

The Learning Organisation (Harper Collins 1994)

- two short and very important books for all those who suddenly find themselves in "leadership" positions and expected to operate "strategically"

Huczynski Influencing Within Organisations (Harvester 1996)

- A modern Dale Carnegie ! Very practical (but explicitly based on the research) guide to "getting on". Written for graduates.

Pedler M etc A Manager's Guide to Self-Government (3rd edition McGraw 1994)

- Identifies 11 basic management skills : then offers a questionnaire to allow you to identify the areas where you perhaps need improvement. 49 activities (eg "planning change", "choosing solutions with a chance" - about 5 pages to each) are then described to help such improvement.

Rowntree D A Manager's Book of Checklists (Gower)

- The book devotes 7/8 pages to each of the topics listed. No narrative : simply questions to help you to assess your approach to each - and how you might be able to improve your performance.

- controlling, communicating,
- managing your time, team, meetings, conflict, change etc

- planning for new staff : recruiting and interviewing
- delegating, motivating, appraising and disciplining staff
- handling the politics
- negotiating
- planning your career
- managing your boss

Whetton D, Cameron  
and Woods M Developing Management Skills for Europe (Harper Collins 1994)

- This is a course in itself : with some 50 pages apiece on -
  - developing self-awareness
  - managing stress
  - solving problems creatively
  - communicating supportively
  - gaining power and influence
  - motivating others, managing conflict
  - empowering and delegating.

The considerable strengths of the book are its self-assessment approach and its concern to base practical (and logical) advice on the available research - which it clearly summarises.

### G. Cross-Cultural Teamwork

Garrison T and  
Rees D. Managing People Across Europe (Butterworth 1994)

- very practical guide to the different approaches in personnel management in each of the European countries.

Hickson David  
and Pugh D Management Worldwide - the impact of societal culture on organisations around the world (Penguin 1995)

- very accessible introduction to this field of study.

Hofstede Geert Cultures and Organisations - software of the mind (Harper and Collins 1994)

Lessem R Global Management Principles (Prentice Hall 1988)

- It takes the management literature (and styles) of the twentieth century - and classifies them according to points of the compass. "Northern" is traditional bureaucracy: "Western" celebrates the individual : "Eastern" the collectivity and "Southern"
- He then goes on to argue that organisations and individuals can also be seen to go through such phases. It is undoubtedly the most inter-disciplinary of the management books : and gives very personal vignettes of the writers and their context.

Management development through Cultural Diversity (Routledge 1998)

- the update of the above

Lewis Richard When Cultures Collide (Nicholas Brealey 1996)

- very practical exploration of the communications problems which arise in cross-cultural discussions.

Trompenaars

Fons Riding the Waves of Culture - understanding cultural diversity in business (Nicholas Brealey 1993)

- the clearest and most practical of the recent books on the different meanings given by different national cultures to seven concepts -

- Universalism v Particularism (rules versus relationships)
- Collectivism v Individualism (the group versus individual)
- Neutral v emotional (range of feelings expressed)
- Diffuse v Specific (the range of involvement)
- Achievement v Ascription (how status is accorded)
- Attitudes to Time
- Attitudes to Nature

## H. Business plans and project Management

Barrow Colin Business Plan Workbook (Kogan Page 1988)

Burton Celia A Practical Guide to Project Management (Kogan Page 1992)

## I. Managing Change

Bate Paul Strategies for Cultural Change (Butterworth 1994)

- one of the few books which really tries to give a satisfactory conceptual base to the question of implementing an effective programme of organisational change. As an academic, he has read all the relevant literature - but also been involved as a consultant with British Rail in the 1980s and the book very much comes out of that traumatic experience ! He suggests there are 4 basic approaches to organisational change - aggressive, conciliative, "corrosive" (political) and indoctrinaire - whose relevance can be assessed by using 5 "design parameters" - expressiveness (feelings), commonality (relationships), penetration (numbers), adaptability (process) and durability (structure).

	Aggressive	Conciliative	Corrosive	Indoctrinaire
Expressiveness	Radical Innovative Idealistic Confronts and discredits ruling ideas Simple language	Message diluted Lots of detail - no simple core idea Softly-softly approach compromises	Pragmatic - no strong guiding principle Conceals rather than shows hand Can put out mixed messages	Uses specialists to communicate the core message - in locations removed from work where people are more suggestible
Commonality	Creates rancour Top-down method to resistance Fails to gain common ownership for change	Seeks to unite people in thought Creates a trust culture	Self-interest prevails Strong win-lose orientation	Promotes a cooperative community feeling - but in a group which ceases to exist after the training
Penetration	Widely marketed but does not nec affect everyday behaviour	Involves much time in the field familiarising people with the concept and discussing	Selective but where it is applied it sticks	A total immersion programme
Adaptability	Messianic; set in stone Suffers from belief in instant solution	Open-minded; willing to accommodate new views	Not rule bound The informal power network is highly flexible	Emphasis on conformity and uniformity No provision for experimentation. Yes men preferred
Durability	Structural follow-up neglected Rarely transcends the person who created it Alienates certain groups who try to undermine it	People are keen to preserve what they have painstakingly created together New culture firmly grafted on to existing practices	Low - based on personal relationships that frequently change	Not grounded in the local reality People don't feel compelled to defend what they have not helped create.

He then looks at the stages of change -

- deformative ("catching people's attention")
- reconciliative ("capturing their intention")
- acculturative (gaining commitment)
- enactive (doing)
- formative (reinforcing), arguing that "structure creates nothing" but must emerge from this process.

His final section looks at different types of leadership required - aesthetic ("fiction"), political ("rhetoric"), ethical, action and formative.

Buchanan D and

Boddy D The Expertise of the Change Agent - public performance and backstage activity (Prentice Hall 1992)

- A very readable review of the literature in this area which tries to develop a "richer perspective". The authors identify three general approaches and logics - "project management" (relying on the logic of **problem-solving**); "participative management" (relying on the logic of **establishing ownership**); and "political management" (relying on the logic of **legitimacy**, emphasising the processes of selling, team building and blocking resistance). The change agent has to support the "public performance" of rationally constructed, logically phased and apparently participative change – with "backstage" activity in the recruitment of support and blocking of resistance.

The book is written around five main propositions -

- The change agent has to address **three parallel agendas** - content, control and process
- The context is experienced in terms of 4 components which influence the degree of **vulnerability** of the change agent - "shifting sands", "organisational interdependencies", "ownership ambiguities" and "senior stance"
- Content and control agendas are most significant in a low vulnerability context; process and control agendas in high.
- Management competences relevant to process agenda are clear (5 clusters – goal specification; role specification; communication; negotiation; managing up)
- The change agent in a high vulnerability context should proceed using the rational-linear model of change while supporting that with significant "behind the scenes" action.

Carnall Colin Managing Change in Organisations (Prentice Hall 1990)

- an accessible summary of relevant organisational literature with many practical suggestions on how to make your organisation more effective (chapter 11 has some helpful checklists)

Clarke Liz The Essence of Change (Prentice Hall 1994)

- One of the clearest and most practically helpful of the books I have read on the subject. Each chapter gives some useful techniques - and ends with questionnaires.

Eccles Tony Succeeding with Change - implementing action-driven strategies (McGraw Hill 1994)

- a thoughtful and realistic book from one of Britain's foremost management Professors. Much of the American literature is now "gung-ho" about participation : his approach recognises that organisational change starts with one man (or a small number at the top) who have to formulate something before they can start to sell the new approach. He sees this process of "Endorsement" as crucial - "the growth of concerted will". He suggests "Eight Needed Elements in Successful Change" -

- pressure for change
- a clear and shared vision
- effective liaison and trust
- the will and power to act
- capable people and sufficient resources
- suitable rewards and accountabilities
- actionable first steps
- capacity to learn and adapt



Fisher, Fred Guide for Managing Change for Urban Managers and Trainers (United Nations Habitat Centre 1991)

- an excellent training manual both for urban managers and for urban management courses, it adds an essential first stage to the classic cycle of decision-making and then offers for each very useful group exercises and insights ie -
  - building a problem-solving relationship
  - identifying problems and opportunities
  - analysing the problem
  - planning a course of action
  - experimenting and redesigning
  - implementing
  - evaluating

In the second part of the book, issues such as strategic planning, organisational culture and leadership are addressed - as well as the critical question of "what to do on the return to the office"

Hutchinson C. Vitality and Renewal - a Manager's Guide for the 21st Century (Adamantine Press 1995)

- a very helpful book designed to help managers understand the environmental challenge : and how they might, as managers, help their organisation better face up to that challenge. Contains the most practical summaries of proven and tested techniques - and how and when they might be used. One of his interesting sets of questions is -
  - a. Who is feeling the pain?
  - b. Who is accepting ownership of the problem (in terms of action)
  - c. Who has the power to act?
  - d. Who has the power to block the initiative?

Leigh, Andrew : Effective Change - 20 ways to make it happen (IPM 1988)

- captures nicely some of the key issues and stages of change -
  - **"Sense the Needs !** : don't just use the hard data. Impressions and intuition count when we are looking at social trends !
  - **Build Awareness !** : network for change !
  - **Broaden Support !** : adopting a new strategic direction challenges the status quo and many existing vested interests. There may be whole layers of people who find it easier to say no than yes. The change has to be worthwhile for them too.
  - **Create Commitments !** : it is essential to create a "critical mass" for change : to encourage (rather than stifle) the various individuals who have the energy and vision for a new direction.
  - **Focus Developments !** - as strategic goals crystallise, they must be channelled into specific proposals. These should emerge from an agreed system of criteria for project selection.
  - **Seek Accountability !** - people have to be made accountable for specific results. It must be clear who does what, by when - and with what resources.
  - **Maintain the Dynamic !** - Many strategic change efforts, after starting well, fizzle out. The art of strategic change is to develop ways to maintain the momentum over a prolonged period. Relying on many people to sustain the change effort is better than depending on a few".

McCalman James

and Paton R. Change Management - a guide to effective implementation (Chapman 1992)

- adopts the same approach as the course material of the OU course ie "Systems Intervention Strategy". Thorough - and rightly emphasises the usefulness of mapping techniques for policy analysis. His model is divided into 3 phases

- Definition (problem specification, formulation of success criteria" and identification of Performance indicators)
- Evaluation (generation of options, selection of evaluation techniques and option evaluation)
- Implementation (development of implementation strategies, consolidation)

This is a **more technical approach** relevant perhaps more to the process of specific policy or product changes rather than systemic : but is important for its emphasis of two crucial questions (a) **Who is the "Problem Owner" ?** : This generally has two levels : "commitment" and "responsibility". Who are the senior "champions of change" ? (those who "Can, who Know ... and who Care"). And who has been given (or taken) the actual responsibility for "making it happen" ?

(b) **How will we know if we are succeeding ?** Some time needs to be spent at the early stage not only on clearly defining the problem but also on the formulation of success criteria and the identification of Performance indicators . And, before options are listed, we need to be clear on how they will be evaluated.

Plant Roger      Managing Change - and make it Stick ! (Fontana 1987)

Senior B.          Organisational Change (Pitman 1997)

Stewart J.        Managing Change through Training and Development (Kogan Page 1996)

- a very accessible and practical introduction to some aspects of organisational development and groupwork for trainers. First a brief history ; then a look at three of the most commonly-used techniques viz (a) the Leadership Grid, based on the assumption that what most affects organisational effectiveness is "how power is exercised over people in the pursuit of purpose" (management style) and that management style is affected by such factors as the organisation, the situation, personality, personal values and chance. The approach then follows the following stages - grid seminars, team building, intergroup development, implementation and consolidation.

(b) The Survey Feedback Method (eg the "organisation blockage" method used by Woodcock and Francis which is a 120-item instrument examining 12 critical issues which can block organisational effectiveness. Simpler frameworks can be devised - what is important is the subsequent discussion and joint identification of key issues.

(c) Process Consultation (Schein)

There is then a section on the theory and practice of groupwork, dividing key "process issues" into "task" functions (information sharing, making proposals, summarising discussions, evaluating and giving direction) and "maintenance" functions (encouraging participation, communicating/listening, relieving tension, building trust and observing) : and showing how these concepts can help team building and meetings. An effective group is one which has clear objectives, communications which cover feelings as well as tasks, widely-distributed leadership, influence based on information /expertise, values inter-personal relationships and conflict, decides by dialogue and monitors (see also Dainty book in Training bib).

Two useful "practice" chapters describe exercises for creating a learning atmosphere : and for team analysis and building.

Chapter Eleven looks at four dynamic approaches to learning - "Self-development", "Action Learning", "Self and Peer Assessment" (SPA) and "Structured Group Learning" (SGL)

## 9. Training/Learning

de Bono, Edward      Serious Creativity (Penguin 1995)

- the man who invented "lateral thinking" and whose books continue to delight and instruct : see, for example, his Six Thinking Hats (Penguin 1985) which offers a way to ensure that issues are properly "mapped" in discussions - by participants being invited first to supply facts, then emotions, then constructive ideas, then criticism, then assessment.

Cunningham Ian      The Wisdom of Strategic Learning - the self managed learning solution (McGraw Hill 1994)

- how organisational learning can be structured : in "learning sets" or specially resourced groups. Firmly rooted in the experimental work in UK in the 1970s and 1980s - but adapted to deal with the failures. Occasionally a bit eccentric and tantalising as he lists the various aspects of a more holistic approach which then peters out.

Good on the critique of narrow, trainer-driven approaches to training: but not so practical.

Honey

/Mumford      The Manual of Learning Opportunities

Mabey C. and

Salaman G.      Strategic Human Resource Management (Blackwell 1995)

- particularly the chapters on "Managing Change", "Training and Development Strategies" and "Learning Organisations."

"Even when careful consideration has been given to the construction of learning activities and personal learning achieved, there are many reasons why the wider workplace may not benefit or want to benefit. Where there are huge disparities in rewards and security ;conditional access to positions of power ; structural inequalities in the development of careers and inherently different definitions of organisational goals and priorities, learning is bound to be hampered by careerism, anxiety, stress, deference and unresolved conflict. Even where such interference to learning is minimised, mechanisms need to be in place which link individual to collective learning" (p358)

Mumford A.      Learning at the Top (McGraw Hill 1995)

- As people rise to the top of an organisation, they tend to assume there is nothing left to learn (and any hint of that is a weakness on their part!). The reality is that Directors' jobs demand new skills which have to be developed: and that nothing will spread the necessary commitment to the spirit of continuous learning than knowing the boss is also learning. This is one of the rare books which explores, in very practical ways, how those at the top can be encouraged in this pursuit.

Pearn M et al      Learning Organisations in Practice (McGraw Hill 1995)

Companies now recognise that sending individuals on courses is a waste of time: and that if companies are to have the necessary skills of managing change, they have to be learned together - and become a central part of the operations of the company.

Hence the concept of the "learning organisation". This book is based on a thorough investigation of the practice and literature on this fashionable concept and a very practical guide to how to do it.

It suggests six levels of learning - individual; team; cross-functional; organisational (internal); organisational (environment); future possibilities. And then offers a six-factor model INVEST both to assess and build up the capacity ie

- Inspired learners
- Nurturing culture
- Vision for the future
- Enhanced learning

- Supportive management
- Transforming structures

Peck, M Scott The Different Drum - Community-Making and Peace (1988)

- is a challenging description by a psychiatrist of the process of team-building.

Pedler Michael A Manager's Guide to Self-Development (3rd edition McGraw Hill 1994)

- Identifies 11 basic management "attributes" : command of basic facts, relevant professional knowledge, continuing sensitivity to events, analytical/judgement-making skills, social skills, emotional resilience, proactivity, creativity, mental agility, balanced learning habits, self-knowledge.

Then it offers a questionnaire to allow you to identify the areas where you perhaps need improvement. 49 activities (eg "planning change", "choosing solutions with a chance" "negotiating" - about 5 pages to each) are then described to help such improvement.

Senge The Fifth Discipline Fieldbook (Nicholas Brealey 1994)

Spencer L. and

Spencer S. Competence at Work : Models for Superior Performance (Wiley 1993)

Stewart J. Managing Change through Training and Development (Kogan Page 1996)

- see section 9 above

Weinstein K Action Learning (Harper Collins 1995)

- a marvellously detailed (and inspiring) description of how small (6 or so) groups of managers (whether from the same or different organisations) can come together to shape their own agenda for learning. The key elements are -

- authorisation from senior management
- the selection of a "project"
- one hour at each monthly meeting on the presentation and discussion of progress
- questioning by others

Zhanghi Claudio Comparative Analysis of Civil Service Training Schools (EIPA 1994)

### **Training in Central Europe**

Balducci M. "Training Civil Servants in the administrations of Central Europe" : The International Review of Administrative Sciences (March 1994)

Jasaitis EJ "The Retraining and Training of the Lithuanian Public Sector" in Jabes and Vintar (ed)

Letiche L, Crawshaw and Thomas Management Education in the New Europe (International Thomson Bus Press 1996)

- the only book I know which describes in detail the processes, assumptions and results of foreign Technical Assistance attempts to develop management capacities in Central Europe. It centres on Poland - and is honest and stimulating.

## 9. JOURNALS and WEBSITES

International Review of Administrative Sciences : the official quarterly organ of the European Group of Public Administration and the International Association of Schools and Institutes of Administration. The English version can be obtained from SAGE Publications, 6 Broomhill St London EC2A 4PU (French and Spanish versions are also available). 40 pounds annually.

Journal of Democracy

Local Government Studies : rather overpriced (125 pounds for 4 issues) but useful (from Frank Cass Newbury House 890-900 Eastern Av, Newbury Park, Ilford Essex UK)

Parliamentary Affairs : published by the Hansard Society with coverage of European political affairs and containing detailed updates of British "constitutional" events. Available from Oxford Journals OUP Unit 174, Milton Park Abingdon, Oxon OX14 4SE. 58 pounds.

Policy and Politics

Political Quarterly : a reflective journal with social democrat sympathies. From Blackwell Publishers 108 Cowley Rd Oxford OX 2ODT. 62 pounds. At least once a year there is an additional Special Issue eg "Reinventing Democracy"

Public Administration : a good "heavy" Available from Blackwell Publishers. 42 pounds.

Public Administration Review : the bimonthly journal of the American Society for Public Administration (from 1120 G Street, suite 700 Washington DC 20005-3885. 80 dollars

Public Money and Management (Blackwell) : quite excellent at 35 pounds. Available from Journal subscriptions, Marston Book Services, PO Box 240, Abingdon, Oxon England OX 144YW

West European Politics ; quarterly from Frank Cass, Gainsborough House 11 G. Rd London E 11 1 RS fax 44 181 530 7795. 38 pounds

Journals on **Development issues** are deeply disappointing, being very technical, specialised and focussed on Africa and Asia. I have found the general journals from The World Bank quite useful eg Finance and Development (order through fax 202 623 4738) and Transition (from Jennifer Prochnow-Walker, Room N9-100, 1818 H St, NW Washington fax 202 522 1152).

There are various journals on **Transition countries** - of which the best by far is East European Constitutional Review (can be viewed in full on [www.law.ny.edu/eecr/](http://www.law.ny.edu/eecr/)).

**On Urban and Regional Policy and Development -**

Economic Development Quarterly - "The Journal of American Economic Revitalisation - designed to bridge the gap between practitioners, academics and informed citizens in the field of economic development". Published by Sage, London, quarterly at 75 dollars a year (fax 44. 171 374 8741)

Entrepreneurship and Regional Development : quarterly - 38 pounds from Taylor and Francis Ltd Rankine Rd Basingstoke England RG248PR

Local Economy : from Longman Fourth Avenue Harlow Essex UK : 35 pounds

Regional Studies : quarterly and rather econometric. But contains very useful and accessible "Policy" section. 40 pounds (including membership of the Regional Studies Association) from RSA, Wharfedale Projects, 15 Micawber St, London NI7TB

Regional and Federal Studies : 35 pounds for 3 issues annually - from Frank Cass Newbury House 890-900 Eastern Av, Newbury Park, Ilford Essex UK

Urban Studies : rather academic bi-monthly - but the May issue each year is a Review edition and worth reading.

#### More General

The Economist : a must to keep abreast of world events - the neo-liberal philosophy is a useful provocative to thought, if occasionally juvenile.

Courier International : an excellent weekly which gives you translations of what weeklies round the world are saying about contemporary events.

Le Monde Diplomatique : French learning at its best ! Who else would continue to give you, in newspaper format, good heavy articles complete with footnotes? Monthly

New Left Review : a must for a radical perspective ! From 120/126 Lavender Av Mitcham, Surrey, fax 181 648 4873. 22.50 pounds (quarterly)

New York Review of Books : what would life be without it ?

- rates quoted are for individual annual subscription (at 1998)

I value for their overviews and style, Public Administration, Public Money and Management, International Review of Administrative Sciences, West European Politics, Economic Development Quarterly, Regional Studies

#### WEBSITES

There are a growing number of relevant websites of which the most noteworthy are - PUMA – which gives national profiles of public admin reform in each member country - [www.oecd.org/puma](http://www.oecd.org/puma)

SIGMA – does the same for central European countries - [www.oecd.org/puma/sigmaweb](http://www.oecd.org/puma/sigmaweb)

British Cabinet Office - [www.cabinet.office.gov.uk/servicesfirst/index/htm](http://www.cabinet.office.gov.uk/servicesfirst/index/htm)

East European Constitutional Review – an excellent resource for serious and detailed assessments of transition - [www.law.nyu.edu/eecr](http://www.law.nyu.edu/eecr)

The Congress for Local and regional Authorities of Europe (CLRAE) – the champion of the Charter for Self-Government. The site contains reports on how various member countries match up to this Charter thereby giving the most up-to-date descriptions of their structure - [www.coe.fr/cplre](http://www.coe.fr/cplre).

Institute for Public Management and Local Government, Budapest. Soros-funded, this site contains very useful papers on PAR in transition countries [www.osi.hu/lgi](http://www.osi.hu/lgi)

US Urban Institute – [www.urban.org](http://www.urban.org). Ditto

Public Administration Sites – [www.link.bubl.ac.uk/government](http://www.link.bubl.ac.uk/government)

US National Endowment for Democracy – [www.ned.org](http://www.ned.org)

UNDP - [www.bestpractices.org/](http://www.bestpractices.org/)

[www.globalideasbank.org/](http://www.globalideasbank.org/)

- a collection of simple ideas for improving societies

## A REFORMER'S GLOSSARY OF TERMS

One of the problems for people reading about the experience of public sector reform relates to LANGUAGE. I have found that there are about 35 key words in discussions about making public administration more effective. I'm sure you can add some more!

The definitions I give below are designed to be provocative - to provoke thinking and discussion. In some cases I have suggested useful follow-up reading.

- accountability - a basic principle whereby those (momentarily) with power account for its exercise to those who entrusted it to them. This means (a) open information about decisions taken and the reasons for - and implications of - this and (b) the ability to get rid of those who are not achieving!  
Political systems of accountability are different from professional.
- administration - the essential routine of an organisation. Something to be carried out by paid officials and NOT politicians who SHOULD be practising leadership
- community development - a process of urban management used by those in power to involve all sectors of society in dealing with local problems.
- community economic development - a policy which combines the approaches of "local economic development" and "community development" : it is designed to put in train a set of processes which tries to reconnect disadvantaged areas to the mainstream of economic life - by engaging the local people in those regeneration efforts (EU 1996).
- Contract - a binding commitment. Normally with a commercial connotation, the word has, since the 1994 US Republican Senatorial victory and promise of a "contract with America", acquired a political connotation; in that context a highly populist one.  
It was used more neutrally by the Romanian Democratic Convention in 1996 in its successful bid for local and national power in an attempt to indicate that they would actually do things important to the public.
- contracting out - when a government department arranges, by competitive tender, for the services for which it is responsible to be delivered by another organisation - for a clearly specified period and with clearly defined measures of performance.
- control - the mechanisms to try to achieve desired results. The word has very negative connotations implying that people cannot be trusted. There are many different ways of achieving what you want organisationally or politically eg -

- (i) administrative
- prospective control (vetting)
- retrospective control (post-hoc/audit)

(ii) The promise of incentives

(iii) The threat of penalties

(iv) Moral influence

co-ordination	<p>- the administrative "will o' the wisp". What everyone says they want; some actually do; and few ever achieve! Perri 6 has listed the various mechanisms used in the British context -</p> <ul style="list-style-type: none"> <li>• Interdepartmental working parties <ul style="list-style-type: none"> <li>• Multi-agency initiatives</li> <li>• Merging departments</li> <li>• Joint production of services</li> </ul> </li> <li>• Restricting agencies' ability to pass on costs <ul style="list-style-type: none"> <li>• Case managers</li> </ul> </li> <li>• Information management and "customer interface integration"</li> <li>• Holistic budgeting and purchasing (eg the Single Regeneration Budget)</li> </ul> <p>And suggests that "the key to real progress is the integration of budgets and information; and the organisation of budgets around outcomes and purposes not functions or activities"</p>
corruption	<p>- the behaviour of government "servants" (both elected and appointed officials) when they abuse their positions of information access and/or policy influence to further the financial interests of themselves or their family. This will happen (a) when the countervailing power of the civil service, parliament and the media is weak (b) in the absence of "transparency" but also (c) when the relationship between industrial, financial and political interests is too close</p>
decentralisation	<p>- the process whereby central government passes to independent levels of local self-government the legal responsibility for specific activities.</p>
Deconcentration	<p>- the process whereby central government <u>delegates</u> to a lower level of <u>central</u> government the administrative or financial responsibility for a set of decisions.</p>
demonstration /pilot projects	<p>- small, introductory projects which give opportunities for testing the feasibility of an idea and laying the basis for wider adoption.</p>
effectiveness	<p>- the achievement of a significant and useful goal (the "output"). What politicians should be concerned with!</p>
efficiency	<p>- the achievement of an agreed task with minimal <u>input</u>. The glossary in <u>Governance in Transition</u> (OECD) gives a more</p>



comprehensive definition: "the relationship between resources (inputs) used and outputs produced. An efficient activity maximises outputs for a given input or minimises input for a given output. Efficiency measures take the form of output/input ratios (productivity) and expenditure/output ratios (unit cost)"

- empower - to create the encouraging environment in which people can use their own imagination and skills to act - and achieve ; rather than trying to get them to do what you want them to do.
- "enabling" role - the view of the proper role for municipalities which has gained support in the West in the past decade.  
That they should not so much be managing DIRECTLY services as contracting other agencies to run them - leaving the municipal leaders the time and energy to concentrate on leadership
- evaluation - exploration of the lessons from an activity : not just whether anticipated results have been achieved (were they ever made clear ?) but what has been learned about methods of implementation - and about unanticipated lessons - and what it all means for future policies.
- governance - a term increasingly in use in recognition of the fact that Central government can no longer achieve things on its own - but requires to create the conditions in which appropriate groupings of organisations from the public, private and voluntary sector come together to achieve results.
- groupthink - blinkered thinking which overcomes the leadership of an organisation when its culture has become too arrogant, centralised and incestuous : and when it is too protected from critical messages from and about the external world.
- hiving off - when a Government sets up a free-standing Agency to take responsibility for the more routine activities of a Ministry (which generally account for more than half of the workload). These are still part of the Government system - with budgets and policy frameworks given by Government.  
But they are independently managed: and accountable for the achievement of agreed objectives. Transparency is greater - and Ministerial manipulation not so easy.
- leadership - now defined as the process on inspiring in others a sense of what is possible - and encouraging and enabling them to "go for it". This reflects two basic things - the highly educated nature of present

work forces and societies: and the speed of change. Both require decisions to be taken near the consumer

- learning - a word which is replacing "training" which is associated with a more static society in which knowledge is certain and hierarchic - and is passed on by experts to those who don't have it.  
Two things have changed this model: first the realisation that people don't really learn unless they are in control of the process and taking responsibility for it. Second that all our societies are in such a state of flux that the "experts" no longer "know".  
One of the results has been to put more emphasis on "team" or "action" learning.
- listening - in the 1990s we have been told that we don't do enough of it : whether as individuals or as organisations. So the conduct of meetings and the structure of organisations is being reshaped to help us listen more. "Dialogue" is in - "discussion" (original Latin meaning "smashing to pieces") out.
- management - the mechanics of achieving organisational goals - and keeping the organisation functioning.
- NGOs - an ambiguous term for what the British call "voluntary organisations". Korten gives us a very useful 4-fold classification -  
- real Voluntary Organisations ("pursuing a social mission driven by a commitment to shared values")  
- "Public Service Contractors" (PSC)  
- "Governmental non-governmental Organisations (GONGOS)"  
- "People Organisations". The latter is a particularly useful term - bodies "representing their members' interests, having member-accountable leadership and substantially self-reliant". Some NGOs are trying to make local councils POs !  
Korten also recognises that most NGOs operate in four very different fields: of (a) "relief and welfare", (b) "self-reliant local development", (c) "sustainable systems development" or strategic policy lobbying and (d) "Facilitating People's Movements" which "look beyond focussed initiatives aimed at changing specific policies and structures. Their goal is to energise a critical mass of independent, decentralised initiatives in favour of a social mission"
- network - an informal system which gets things done in a way impossible for the formal system. Such networks can be "exclusive" (Mafiosi) or open. One of the difficulties in Central Europe countries is that it is the former system and connections which is understood: and the more open "networking" of Anglo-Saxon societies (encouraging individuals to make approaches to those they don't know in pursuit

	of ideas and projects) is risky indeed when survival requires you to keep a low profile.
organisational development (OD)	- "is a long-term effort, led and supported by top management, to improve an organisation's problem-solving processes - using the consultant-facilitator role and the theory and technology of applied behavioural science, including action-research" (Mullins)
participation	- a very ambiguous word : which can variously mean "telling", "asking" or joint decision-making.
Partnership	- A joint approach to public problems: which has Government, Local Government, the Private Sector and NGOs in a (more or less) equal policy-making role. It is, however, the public sector which has to take the lead in urban/regional regeneration efforts - so much is clear from the experience of the past two decades. But that does NOT mean that politicians have a monopoly of truth! Indeed it is said that politicians tend to have a limited time-horizon (of the electoral cycle) and to have a preference for projects which are quickly visible ("Cathedrals in the Desert")! Those with experience of the market have different perspectives - and experience has demonstrated that a mixed Board of those from the public and private sector supplies the <u>creative and unifying approach</u> - with public accountability - which is needed.
Performance Budgeting	- "budgeting organised around programmes and activities and linked to measurable performance goals. Under PB, the primary focus of the budget is on the level of output and how much that costs. Resources are allocated to sub-programmes rather than line items" ( <u>Governance in Transition: OECD</u> ).
Performance (or output) Measurement	- judging an organisation by measuring what it produces, rather than who it keeps happy or employed. Most usefully done on a comparative basis - over time: or among units performing similar work.
Personnel systems	-
Pilot project	- see demonstration project
policy development	- has various stages, which organisations ignore at their peril : ie - - problem definition

- causative explanation
- search for (technically relevant) solutions
- detailed assessment
- political selection of one
- legislative drafting
- debate and parliamentary approval
- implementation
- evaluation

Each stage should involve a **different** role for such groups as experts, politicians and the public: sometimes openness and creativity; sometimes discipline and clear task specifications.

- Reinventing - (as in "reinventing government") Rethinking from first principles. Designing new structures and policies as if you were beginning from scratch - and not letting past policies and allegiances get in the way.
- responsiveness - the ability of an organisation to hear what its customers are saying - and to respond realistically to this.
- subsidiarity - one of the basic words of the European Union, indicating a commitment to transfer decision-making to the lowest possible level, its origin lies apparently in Thomas Aquinas and the justification for government action only where private initiative is insufficient or lacking .
- teamwork - a word to beware ! Generally used by those in power to get their way while seeming democratic. While true that decisions taken as a result of joint discussion can be often better (and more robust) than those imposed, a lot depends on the manner in which the discussion is held - whether it is structured in a way designed to elicit problems and ideas or, rather, to sanction a dominant view (see groupthink). See Belbin for details of teams roles and structures.
- Total Quality "is a philosophy with tools and processes for practical implementation aimed at achieving a culture of continuous improvement driven by all the employees in an organisation in order to satisfy and delight customers" (Marsh 1992)
- transparency - another favourite word of the European Commission (apart from "subsidiarity"). It means that decision-making should be open, explicit, consistent and honest. The consequences which follow include
  - the procedures and criteria for those decisions should be agreed in advance : and make public

- the identity of those taking decisions should be public knowledge
- the reasons for the decisions should be clear and procedures for appeal against them clear and acceptable.

Wicked problems

- The intractable problems - eg crime, social exclusion - which are left for government to deal with. Generally require cross-sectoral work - and community support.

### RONALD G YOUNG M.A.(Hons) M.Sc. (Policy Analysis)

Has a strong combination of academic, political and managerial experience at British, West and Central European levels. He has established and led many inter-professional and inter-agency teams to achieve significant policy change.

- From 1974-90 he was one of **the key political leaders responsible for setting up and running a government organisation which was larger in both staff and budget terms than many of the countries of Central Europe** (with 100,000 public servants - teachers, social workers, engineers, police etc - and a 3,000 MECU annual budget. That was Strathclyde Regional Council in Scotland whose **Secretary-General** he was from its inception in 1974 until 1990 (re-elected every two years by his colleagues to this post). This put him in a central position in organisational and policy development and budgeting in a region which faced severe problems of economic decline. These he used to help the Region achieve a wide reputation for innovation - both in structures for policy design and implementation. (Gordon Brown, Britain's current Chancellor, has invited him to contribute to each of the two policy books he has edited - one jointly with Robin Cook, the UK Foreign Secretary).
- One of his innovations was the "task-force" approach to policy development - which involved mixed working groups examining critically existing policy practice and structures and bringing forward recommendations for change. Over the 16-year period, he supported the work of some 20 such groups.
- He was Deputy Chairman of **Education** for two years - and also chaired the Joint Committee of the Region and the four **Health** Boards for several years.
- For most of this period he was **also an academic**, running a Government Research Unit he had established: lecturing in Britain and Europe and writing on issues of public management reform.
- He was an **Adviser to WHO** (Health Promotion) and OECD in 1990-91; British member of Council of Europe (late 1980s) and a German Marshall Fund Fellow, USA 1987
- Since **1990 he has been working on Technical Assistance programmes (and living) in Central Europe**, advising various Central European Ministries and Parliaments on issues of public sector reform and regional development through the EU Technical Assistance programme.

#### Publications include -

- **In Transit - Notes on Good Governance** (Bucharest 1999)
- **Government and Community in Central Europe** - article in Scottish Journal of Community Work, winter 1998/1999
- **Lessons for Regional Regeneration**: chapter in Proceedings of 1995 Bratislava Symposium (European Institute of Human Rights 1996)
- **Making things happen: some reflections on regional restructuring 1970-1995** (Conference paper, University of Miskolc and OECD, Hungary 1995 - Hungarian and English)
- **Toward Local Democracy**: pamphlet on the local government challenge in Romania (1994 - Romanian and English)
- **"Boosting People's Confidence in Themselves"** - chapter in book Long-term Unemployment in Europe - the EC/local dimension ed. K.Dyson (Routledge and Kegan Paul 1989)
- Chapter in book - Participation in Urban Renewal in Europe ed Nelissen (IULA 1985)
- **"Community Development : its political and administrative challenge"** : chapter in Readings in Community Work eds Henderson and Thomas (Allen and Unwin 1981).
- **"Political management and policy-making : the Strathclyde experience of mixed task-forces"** : article in Local Government Studies Nov/Dec 1981
- **"A Little Local Inequality"**: chapter in The Real Divide : poverty and inequality in Scotland edited by Gordon Brown and Robin Cook (Mainstream 1981)
- **"What Sort of Over-Government?"**: chapter in Red Paper on Scotland ed Gordon Brown (Edinburgh University Publications 1979)
- **The Search for Democracy** (Heatherbank Press 1978)

He can be contacted at [bakuron2003@yahoo.co.uk](mailto:bakuron2003@yahoo.co.uk)

