

**CENTER FOR HEMISPHERIC DEFENSE STUDIES
NATIONAL DEFENSE UNIVERSITY
WASHINGTON, DC 20319-5066**



**GOVERNANCE, GOVERNABILITY AND SECURITY IN THE AMERICAS:
RESPONSES TO TRANSNATIONAL ORGANIZED CRIME
GGSA (2012)**

Distance Learning I

Monday, September 10, 2012 – Friday, October 5, 2012

In-Residence

Monday, October 15, 2012 – Friday, November 2, 2012

Distance Learning II

Friday, November 2, 2012 – Friday, January 4, 2013

Michael Gold-Biss, Ph.D.
Course Director

Richard Downie, Ph. D.
CHDS Director

Professor Boris O. Saavedra
Deputy Course Director

Luis Bitencourt, Ph. D.
Dean of Academic Affairs

Center for Hemispheric Defense Studies
National Defense University
Bldg 62, 300 5th Avenue, SW
Washington, DC 20319-5066
Telephone: (202) 685-4670
Fax: (202) 685-4674
www.ndu.edu/chds

Disclaimer

This document contains educational material designed to promote discussion by students of the Center for Hemispheric Defense Studies. It does not necessarily reflect the views of the National Defense University or the Department of Defense.

CHDS Copyright Notice

The contents of this document are the property of the U.S. Government and are intended for the exclusive use of the faculty and students of the Center for Hemispheric Defense Studies. No further dissemination is authorized without the express consent of CHDS.

CHDS Policy on Non-attribution

Presentations by guest speakers, seminar leaders, students and panelists, including renowned public officials and scholars, constitute an important part of university academic curricula. So that these guests, as well as faculty and other officials, may speak candidly, the Center offers its assurance that their presentations at the courses, or before other CHDS-sponsored audiences, will be held in strict confidence.

This assurance derives from a policy of non-attribution that is morally binding on all who attend: without the express permission of the speaker, nothing he or she says will be attributed to that speaker directly or indirectly in the presence of anyone who was not authorized to attend the lecture.

Policy and Procedures on Academic Integrity

This statement on academic integrity applies to all components of the National Defense University. The purpose of this broad university policy is to establish a clear statement for zero tolerance for academic dishonesty and to promote consistent treatment of similar cases across the University on academic integrity and the integrity of the institution. This document should not be interpreted to limit the authority of the University President or the Provost and Vice President for Academic Affairs. This policy includes two key areas: academic integrity as it applies to students and participants at National Defense University; and academic integrity as it applies to assigned faculty and staff.

Academic Dishonesty

Academic dishonesty is not tolerated. Academic dishonesty includes, but is not limited to: falsification of professional and academic credentials; obtaining or giving aid on an examination; having unauthorized prior knowledge of an examination; doing work or assisting another student to do work without prior authority; unauthorized collaboration; multiple submissions; and plagiarism.

- *Falsification of professional and academic credentials:* Students are required to provide accurate and documentable information on their educational and professional background. If a student is admitted to the University with false credentials, he or she will be sanctioned.
- *Unauthorized collaboration* is defined as students working together on an assignment for academic credit when such collaboration is not authorized in the syllabus or directed by the instructor.
- *Multiple submissions* are instances in which students submit papers or work (whole or multiple paragraphs) that were or are currently being submitted for academic credit at other institutions. Such work may not be submitted at the National Defense University without prior

written approval by both the National Defense University professor/instructor and approval of the other institution.

- *Plagiarism* is the unauthorized use, intentional or unintentional, of intellectual work of another person without providing proper credit to the author. While most commonly associated with writing, all types of scholarly work, including computer code, speeches, slides, music, scientific data and analysis, and electronic publications are not to be plagiarized. Plagiarism may be more explicitly defined as:
 - Using another person's exact words without quotation marks and a footnote/endnote.
 - Paraphrasing another person's words without a footnote/endnote.
 - Using another person's ideas without giving credit by means of a footnote/endnote.
 - Using information from the web without giving credit by means of a footnote/endnote. (For example: If a student/professor/instructor/staff member enrolled or assigned to NDU copies a section of material from a source located on the internet (such as Wikipedia) into a paper/article/book, even if that material is not copyrighted, that section must be properly cited to show that the original material was not the student's).

Sanctions for Violations of Academic Integrity

Sanctions for violating the academic integrity standards include but are not limited to: disenrollment, suspension, denial or revocation of degrees or diplomas, a grade of no credit with a transcript notation of "academic dishonesty;" rejection of the work submitted for credit, a letter of admonishment, or other administrative sanctions. Additionally, members of the United States military may be subject to non-judicial punishment or court-martial under the Uniformed Code of Military Justice.

Processing of Potential Violations of Academic Integrity

The University is committed to establishing, maintaining, and enforcing a high level of academic integrity throughout the entire University community by implementing a very strict academic integrity policy. Cases in which a student is suspected of violating the academic integrity policy will be processed in accordance with the procedures set forth in the NDU Handbook, Section 5.12, entitled, "Student Disenrollment."

CHDS Policy on Attendance of Classes and Activities

Participants have the responsibility to attend all activities and classes punctually. Please refrain from scheduling meetings, or accepting invitations to attend other activities, visits or appointments with diplomatic representatives from your country, friends or acquaintances during class times and any other time where your presence is required at the Center.

Grading Standards for Participants in the Center for Hemispheric Defense Studies Courses

I. Participants' Evaluations

CHDS applies several different mechanisms for evaluating a student's work including examinations, BOG contribution, and papers.*

II. Grading Scale

Grade	Numerical Scale	Value
A+	100 – 97	Excellent
A	96.9 – 93	Very High
A-	92.9 – 90	High
B+	89.9 – 87	Above Average
B	86.9 – 83	Average
B-	82.9 – 80	Below Average
C+	79.9 – 77	Marginal
C	76.9 – 73	Passing
C-	72.9 – 70	Minimal Pass
F	69 or less	Insufficient
I		Incomplete

III. Examinations

Tests and quizzes will be administered to assess participants' ability to understand and analyze the readings and the topics discussed in plenary as well as in BOG sessions.

The following guidance will be applied:

Grade	Value
A+ (97-100)	Organized, coherent and well-written responses that completely address the questions, convey all applicable major and key minor points, and demonstrate total grasp of the topic.
A (96.9 – 93)	Answers address all major and key minor considerations, demonstrate excellent grasp of the topic.
A- (92.9 – 90)	Well-crafted answer that discusses important ideas related to the topic.
B+ (89.9 – 87)	Answers reflect average graduate graduate-level performance,

* CHDS has adopted and adapted several standards used at College of International Security Affairs (NDU), the National War College (NDU), and the Naval War College.

	successfully considering the topic of each question.
B (86.9 – 83)	Answers address the questions but fail to address all relevant concepts or to demonstrate a clear understanding of the topic.
B- (82.9 – 80)	Cursory responses that do not fully address the questions or do not demonstrate clear understanding of the topic or relevant concepts.
C+ (79.9 – 77)	Answers demonstrate poor understanding of the topic, marginal support for arguments, and/or miss major analytical elements or concepts.
C (76.9 – 73)	Answers address the topic but do not provide sufficient discussion to demonstrate adequate understanding of the topic.
C- (72.9 – 70)	Answers address some of the ideas but response is incoherent.
F (69)	Insufficient

IV. Essay/Research Paper

The student's ability to gather information or to do research, to organize material logically, to compose and express thoughts in coherent and effective prose, and to use standard written language are crucial for paper content and composition. Submissions are to be typed (double-spaced) using 12-point Times New Roman

The following six elements are essential for a high-level paper:

1. It establishes the relevant question clearly;
2. It answers the question in a highly analytical manner;
3. It proposes a well-defined thesis, stated early on;
4. It presents evidence to support that thesis;
5. It addresses, explicitly or implicitly, opposing arguments or weaknesses in the thesis and supporting evidence (this constitutes a counterargument); and,
6. It accomplishes the above in a clear and well-organized fashion

The following guidance will be applied:

Grade	Value
A+ (97-100)	Offers a genuinely new understanding of the subject. Thesis is definitive and exceptionally well-supported, while counterarguments are addressed completely. Essay indicates brilliance.
A (96.9 – 93)	Work of superior quality that demonstrates a high degree of original, critical thought. Thesis is clearly articulated and focused, evidence is significant, consideration of arguments and counter-argument is comprehensive, and essay is very well-written.
A- (92.9 – 90)	A well-written, insightful essay that is above the average expected of graduate work. Thesis is clearly defined; evidence is relevant and purposeful, arguments and counter-argument are presented effectively.
B+ (89.9 – 87)	A well-executed essay that meets standards. A solid effort in which a thesis is articulated, the treatment of supporting evidence and counterargument has strong points, and the answer is well-presented and constructed.

B (86.9 – 83)	An essay that is a successful consideration of the topic and demonstrates average graduate performance. Thesis is stated and supported, counterarguments considered, and the essay is clear and organized.
B- (82.9 – 80)	Thesis is presented, but the evidence does not fully support it. The analysis and counterarguments are not fully developed and the essay may have structural
C+ (79.9 – 77)	The essay is generally missing one or more of the elements described above. The thesis may be vague or unclear, evidence may be inadequate, analysis may be incomplete, and/or the treatment of the counterargument may be deficient.
C (76.9 – 73)	While the essay might express an opinion, it makes inadequate use of evidence, has little coherent structure, is critically unclear, or lacks the quality of insight deemed sufficient to explore the issue at hand adequately.
C- (72.9 – 70)	Attempts to address the question and approaches a responsible opinion, but is conspicuously below graduate-level standards in several areas. The thesis may be poorly stated with minimal evidence or support and counterarguments may not be considered. Construction and development flaws further detract from the readability of the essay.
F (69)	Fails conspicuously to meet graduate-level standards. Essay has no thesis, significant flaws in respect to structure, grammar, and logic, and displays an apparent lack of effort to achieve the course requirements. Gross errors in construction and development detract from the readability of the essay
I	Incomplete

V. Contribution to BOG Sessions

The diversity of the student's body is one of the main features of CHDS courses. Students come from all countries of the hemisphere, with different professional and personal background, this unique characteristic tremendously enriches the discussion in the BOG sessions. Professor serving as facilitators, evaluate the contribution made by each student, assessing the quality of the student's input. The goal in assigning a classroom contribution grade is not to measure the number of times students have spoken, but how well they have understood the subject matter, enriched discussion, and contributed to their seminar colleagues' learning. This caliber of commitment entails that each student come prepared to take part in discussion by absorbing the readings, listening attentively to presentations, and thinking critically about both. Students are expected to prepare for and be thoughtfully engaged in each session. Not to contribute or to say very little in class undercuts the learning experience for everyone in the BOG. Differences of opinion should be conveyed with appropriate regard for the objective, academic, and professional environment fostered at CHDS

BOG preparation and contribution will be graded at according to the following standards:

Grade	Value
A+ (97-100)	Contributions indicate brilliance through a wholly new understanding of the

	topic. Demonstrates exceptional preparation for each session as reflected in the quality of contributions to discussions. Strikes an outstanding balance of “listening” and “contributing.” Respects fellow's ideas while challenging them when necessary.
A (96.9 – 93)	Contribution is always of superior quality. Unfailingly thinks through the issue at hand before comment. Can be relied upon to be prepared for every BOG session, and contributions are highlighted by insightful thought, understanding, and in part original interpretation of complex concepts. Ability to listen and comment fellow's ideas.
A- (92.9 – 90)	Fully engaged in seminar discussions and commands the respect of colleagues through the insightful quality of their contribution and ability to listen to and analyze.
B+ (89.9 – 87)	A positive contributor to seminar meetings who joins in most discussions and whose contributions reflect understanding of the material. Occasionally contributes original and well-developed insights.
B (86.9 – 83)	Average graduate level contribution. Involvement in discussions reflects adequate preparation for seminar with the occasional contribution of original and insightful thought, but may not adequately consider others' contributions.
B- (82.9 – 80)	Contributes, but sometimes speaks out without having thought through the issue well enough to marshal logical supporting evidence, address counterarguments, or present a structurally sound
C+ (79.9 – 77)	Sometimes contributes voluntarily, though more frequently needs to be encouraged to participate in discussions. Content to allow others to take the lead. Minimal preparation for seminar reflected in arguments lacking the support, structure or clarity to merit graduate credit.
C (76.9 – 73)	Contribution is marginal. Occasionally attempts to put forward a plausible opinion, but the inadequate use of evidence, incoherent logical structure, and a critically unclear quality of insight is insufficient to adequately examine the issue at hand. Usually content to let others form the seminar discussions.
C- (72.9 – 70)	Lack of contribution to seminar discussions reflects substandard preparation for sessions. Unable to articulate a responsible opinion. Sometimes displays a negative attitude.
F	Rarely prepared or engaged. Student demonstrates unacceptable preparation and fails to contribute in any substantive manner. May be extremely disruptive or uncooperative and completely unprepared for seminar

VI. Grade communication to the students.

Feedback will be substantive, constructive, and timely. Test and papers will be returned to the students.

1. Professors will inform in writing and via Blackboard all tests and papers grades, including comments that explain the grade.

2. At the end of the course, professors will sent to the Registrar, a complete list of all grades as well as the final Evaluation of Academic Performance of each student.

VII. Challenging a Grade

CHDS recognizes that all participants in its courses are entitled to request a review of the grades received as a result of coursework. In cases of a challenge to a grade, the burden of proof rests with the student. In all cases where there is a reasonable doubt, the grade originally given will be retained. Requests for a change of grade will not be approved if the new grade results from additional work performed after the initial grade has been assigned.

The following process will take place when a student contests a grade:

1. No later than 15 days after receiving the grade, the student will request in writing an Explanation of his/her from the professor who assigned the grade. The professor, no later than 15 days after receiving the request, will respond to the request explaining the basis for the student's grade.
2. If the student believes that the explanation is still unsatisfactory, he/she will request to the Associate Dean of Academic Affairs, Division of Education a Review of his/her grade. This request should be submitted no later than 15 days after receiving the Explanation. The student shall state the facts and must provide a clear and complete justification for the request.
3. After this communication, if the student still deems that the Review is not satisfactory, he/she is entitled to resort to a third and final instance by appealing the grade to the Dean of Academic Affairs, no later than 15 days after receiving the review. The Dean of Academic Affairs will convene a faculty committee of three CHDS professors who did not participate in the previous two review instances. Within 15 days of receiving the appeal, the committee will review all pertinent information relating to the case, which may include interviewing the instructor and student if necessary. The Dean of Academic Affairs, will communicate the results to the student thus bringing the process to an end. The decision of the Dean of Academic Affairs is final.

Course Introduction and General Description

This is a 14-week course, mixing distance phase and in-residence activities to provide students a wide range of perspectives and analyses on circumstances and variables surrounding the nature of governance, governability and security and defense. The program is in three parts. During a three-week pre-course distance phase, prospective participants will receive reading material – which will be discussed via the internet – and will be asked to prepare a draft for a proposal of the research paper that will be later developed. There will also be three “live” sessions using the Adobe Connect platform every Tuesday (September 18, September 25 and October 2; instructions will be issued separately) During a three-week in-residence phase at CHDS, approved participants will engage in an intensive program of lectures, conferences, seminars, case-studies, debates and readings, and they will also have the opportunity to revise their original research-proposal. A third eight-week phase, also conducted in distance mode, will be dedicated to the preparation and delivery of the paper.

As pre-requisites for the course, candidates must hold an accepted college degree and demonstrate ability to read texts in English. Those who are selected to attend and are interested in applying for the credits granted for this course must produce a copy of all college transcripts, including a copy translated into English. These documents will be evaluated to confirm equivalence to a university degree and thus eligibility for the graduate-level credits. Selected participants will be given detailed instructions.

Participants must be aware that they will be required to read about 80 pages per week during the pre-course phase, and about 60 pages per day during the in-residence phase of the course.

Course Description

The principal objective of the course is to explore the current state of the art in relation to governability (*governabilidad*) and governance (*gobernanza*)[†] vis-à-vis security and defense, in the context of a globalized world, but with an emphasis on the Western Hemisphere. Good governance, or a high degree of governability today mean the ability of governments to respond efficiently and legitimately to the interests of the majority at the same time as societies have developed self-organizing capabilities that further their cohesion. In this context good governance and governability have become benchmarks for the political and institutional stability and effectiveness in decision-making and administration, yet the concepts have rarely been applied to issues of security and defense, or to the specific issue of illicit trafficking engaged in by transnational criminal organizations (TCOs).

[†] In English, governability and governance are used almost interchangeably. In Spanish, there is a trend to distinguish governance from governability through the use of the term *gobernanza*.

Elements of “Good Governance”*



*"What is good governance," Economic and Social Commission for Asia and the Pacific. Available online at: <http://www.unescap.org/huset/gg/governance.htm>

From a theoretical perspective it is possible to recognize that there are states facing degrees of “fragility” as the result of the failure of good governance and a very low level of governability. In this sense the study of "Fragile States" becomes a mechanism to understand the importance of social order, stability, security, and integrity. One of the most common indicators of a fragile state is the loss of the physical control of the territory or a monopoly on the legitimate use of force. Other elements of state failure include the erosion of legitimate authority to make collective decisions, an inability to provide minimal public services, and the incapacity to interact with other states as a full member of the international community. Recovering from fragility is guided by the introduction, evolution and growth in the ability to generate stability and growth through good governance and increased levels of governability.

The course is designed to provide an educational opportunity for strategic thinking about mechanisms and processes that can contribute to socio-political and economic stability and growth for civilian and military government officials, as well as other professionals from academia, journalism, and non-government organizations directly involved with issues of national security and defense, law enforcement, and illicit trafficking.

Participants conduct individual case studies and group discussions. The structure of the curriculum permits students to share experiences, to understand contemporary issues of governance and governability from national, regional and global perspectives. The ability to read theoretical and conceptual materials in English is required. Successful students will dedicate time and effort to a three-week online phase, a three-week resident program in Washington, D.C., and a monograph in the end of the course.

Course Goal

The principal objective of the course is to explore the current state of the art in relation to governability and governance vis-à-vis security and defense, in the context of a globalized world, but with an emphasis on the Western Hemisphere. A further consideration is how to confront the illicit activities of TCOs, as a major threat to good governance, governability, and even the continuity of the state as a democratic and representative political entity, possibly becoming a fragile or even failed state, taken over by TCOs through their illicit activities (e.g., narco-trafficking and the “narco-state”).

Course Objectives

At the end of the course, students will be expected to:

- Identify good governance as a viable mechanism for governments to respond efficiently and legitimately to the interests of the majority at the same time as societies have developed self-organizing capabilities that further their cohesion.
- Understand that good governance and governability have become benchmarks for the political and institutional stability and effectiveness in decision-making and administration, yet the concepts have rarely been applied to issues of security and defense, or to the specific issue of illicit trafficking.
- Analyze that there are states facing degrees of “fragility” as the result of the failure of good governance and a very low level of governability.
- Understand how good governance and governability are goals, as well as mechanisms, for fragile states to recover and reverse their process of decline to one of progress. Recovering from fragility is guided by the introduction, evolution and growth in the ability to generate stability and growth through good governance and increased levels of governability.
- Identify the illicit activities of TCOs as one of the most dangerous threats to sovereignty and the continuing existence of the democratic state and democratic governance.
- Identify mechanisms to combat the illicit activities of TCOs, especially those that involve corruption and the intimidation of state and society.
- Develop frameworks for effective public policies to respond to the challenges posed by the illicit activities of TCOs

Course Development/Methodology

Distance Learning Phase (3 weeks)

Distance Learning Phase I of the course lasts three weeks and will be conducted on-line, via email, and using Adobe Connect between the professor and the students. This phase is designed to help the student acquire the theoretical knowledge necessary for the course, which will take place in Washington, D.C.

At the end of the pre-course phase, the students will present a research-paper proposal. The students will present a research-paper proposal in Spanish or English. The research-paper (20 pages), which must be completed up to 8 weeks after the completion of the residential phase of the course, may address any subject related to the concepts of governance and good government, as they relate to the on-going struggle against instability, especially in the form of organized crime and the world of the illicit. You may wish to focus on the country or region where you live. (For helpful information on how to write a paper using accepted standards, please see: <http://leo.stcloudstate.edu/>)

The paper proposal will follow the following format:

1. A section indicating the proposed title of the paper with a description of the subject of the work.
2. A section describing how this subject is relevant to the study of governability and good governance, in relation to security and defense in a given country (case-study methodology).
3. A section describing the theoretical basis on which the analysis will be performed. In this section, please make your best effort to use the information garnered from the readings to substantiate the basis on which you will analyze your topic. While we will work on this and other areas during the residential phase, the intent here is to force you to break into the fundamental concepts and thoughts of some experts and academicians whose work you have read to substantiate the reasons why in democracy, governance and governability are

essential factors for the development and consolidation of the political system. In this way you will be able to make your arguments describing and explaining the case study you will develop. From a different perspective, how do good government and governance contribute to understand your case and also formulate positive policies that will positively impact your case (e.g., combat TOC's power by undermining their ability to corrupt state and society)?

4. A section describing the author's hypothesis and potential responses.

The paper proposal will not be graded, but will form the basis for the paper that is due at the end of the resident course. Since the final paper represents 50% of the grade of the resident phase, the proposal is extremely important.

Resident Phase (3 weeks)

The course will be conducted at CHDS' premises. Students will be exposed to basic information on good governance and governability and will be challenged to analyze complex circumstances related to these concepts. Methodology to help students acquiring this knowledge will include lectures, conferences by experts and practitioners, seminars, and case-studies. Themes will be distributed in a way that students develop a generic understanding of the concepts of governability and good governance and how they relate to the defense and security of a given nation-state or region.

In this phase students also will have the opportunity to review their research-paper proposal and conduct a literary review to build up the bibliography for their research.

A mid-term exam will conclude this phase.

Paper Writing Phase (8 weeks)

After the in-residence phase, students will have 8 weeks to complete their research and conclude the paper. During this phase, they may receive on-line generic orientation and advice regarding the paper but should not expect reviews, editing, or proof-readings.

NO paper will be accepted after the established dead-line.

Course Grading

Grades will be ascribed according to the following distribution:

- Research-paper proposal: Accepted (admission in the Phase II)
- Mid-term exam (resident phase): 30%
- Participation (throughout the course): 20%
- Research-paper: 50%

COURSE SCHEDULE AND READINGS[‡]
Distance Learning I
Monday, September 10, 2012 - Friday, October 5, 2012

Week 1:

Goal:

- Introduce participants to the Blackboard (Bb) platform of learning and each other. Orient and inform participants about general course concepts, such as politics and social science.

Objectives:

- Participants should be able to use the basic features of Bb, especially those related to accessing readings, using the discussion board, and submitting assignments.
- Participants should be able to explain the differences between governability and governance (gobernanza).
- Participants should be able to explain the relevance of governability and governance (gobernanza) to public administration, including defense and security.
- Participants should be able to give a general description of the course.

Requirements:

- Prepare a 2-page (one thousand words) analytical overview of the readings of the previous week.

Required Readings:

- GGSA Course Syllabus 2012.
- Arbós, Xavier y Salvador Ginier. *La gobernabilidad: Ciudadanía y democracia and la encrucijada mundial.* (Madrid: Siglo XXI de España Editores, 1993), pp. vii -20, 51-89
- Calame, Pierre. *Hacia una revolución de la gobernanza: Reinventar la Democracia.* (Santiago de Chile: LOM, 2009), pp.11-28, 147-176, 207-232
- Prats i Català, Joan. "Gobernabilidad democrática para el desarrollo humano." *Revista Instituciones y Desarrollo*, 10 (2001): 103-148. Available online at: <http://www.hegoa.ehu.es/dossierra/gobernanza/3-Prats2001.pdf>

Week 2:

Goal:

- Provide a generic visions of governability and governance and their relevance to the modern world, especially security and defense

Objective:

- Participants should be able to explain the evolving relationship between governance and defense and security.

Requirements:

- Prepare a 2-page (one thousand words) analytical overview of the readings of the previous week.

[‡] PLEASE NOTE: Internet links to documents are "live" at the time this Syllabus is published. All materials are available via Black board to registered students.

Required Readings:

- Zirker, Daniel and Constantine P. Danopoulos. "Governability and Contemporary Forms of Military Intervention: Expanding Ecuadorian and Turkish Models," *Journal of Security Sector Management*, Vol. 4, No. 1 (2006): 1-15. Available online at: http://www.ssrnline.org/jofssm/issues/jofssm_0401_danopoulos_governance_military_intervention.pdf?CFID=2523712&CFTOKEN=65985330
- Zirker, Daniel and Constantine P. Danopoulos. "Personal Security, Governability and the Military in Latin America," *Journal of Security Sector Management*, Vol.2, No. 1 (2004): 1-18. Available online at: http://www.ssrnline.org/jofssm/issues/jofssm_0201_zirker_danopoulos.pdf?CFID=2523712&CFTOKEN=65985330

Recommended Reading:

- Fukuyama, Francis. "Transition to the Rule of Law." *Journal of Democracy*, 21, 1 (January 2010): 33-44.

Week 3:**Goals:**

- Understand and assess the importance of governability and governance (gobernanza) in the present and the recent past.
- Consolidate the learning points of the previous weeks and finalize their respective research-paper proposal.

Objective:

- Participants should be able to explain the evolving relationship between governability, governance and defense and security. A particular focus will be the definition of the most important elements to consider in developing a defense/security strategy that incorporates state and non-state actors, particularly in the face of the so-called emerging threats, including transnational organized crime.

Requirements:

- Prepare a 2-page (one thousand words) analytical overview of the readings of the previous week.
- Finalize the research-paper proposal

Required Readings:

- Johanna Espin M.. *La seguridad ciudadana y los procesos de gobernabilidad y convivencia democrática en los países de la Región Andina*. (San Jose, C.R.: FLACSO, 2009). Available online at: <http://www.flacso.org/uploads/media/JEspin.pdf>
- McGranahan, Matthew. "Guidelines on writing a research proposal." University of Hawaii System. Available online at: <http://www2.hawaii.edu/~matt/proposal.html>
- Mejía, Sonia Alda. *Las actuales relaciones civiles-militares en Suramérica y los retos pendientes*. (San Jose, C.R.: FLACSO, 2009). Available online at: http://www.flacso.org/uploads/media/Sonia_ALDA.pdf

Recommended Readings:

- Rojas Aravena. *América Latina: en búsqueda de la gobernabilidad, la seguridad y la defensa*. (Santiago: Chile: FLACSO – Chile, 2003). Available online at: http://www.enlaceacademico.org/uploads/media/AMERICA_LATINA_EN_LA_BUSQUEDA_DE_LA_GOBERNABILIDAD.pdf

IN-RESIDENCE PHASE

Monday, October 15, 2012 – Friday, November 2, 2012

Week 1: Governance and Development

Day 1 (Monday, October 15, 2011): Introduction

Administrative Matters

Course Introduction

Goal:

- Provide an overview of the course and detail its “in-residence” phase.

Objectives:

- Participants should be able to explain the rationale for the entire course vis-à-vis its generic and particular goals.
- Participants should be able to understand and describe the particular requirements and the rationale of the “in-residence” phase.

Day 2 (Tuesday, October 16, 2012): Society-Government-State Relationships

Goals:

- The introductory lecture should establish the importance of governance as a transitional concept from the institutionalize focus on politics, to the social dimension of life in the *polis*, where democratic life is not only based on freedoms and duties gained through the strengthening of institutions, but also the improvement of the quality of life of society through better governance and participation.
- Stimulate reflection on the need for good governance in the every-day life of every society, with a focus on security and defense.

Objectives:

- Participants should be able to describe governance, good governance, and good government as they relate to problems currently faced by Latin America.
- Participants should understand *communitarianism* as one possible philosophical foundation for what governance, good governance, and good government are.

Required Readings:

- Botchway, Francis N. “Good Governance: The Old, the New, the Principle, and the Elements,” *Florida Journal of International Law*, Vol. 13, No. 159 (2000-2001): 159-210.
- Etzioni, Amitai. “A Moderate Communitarian Proposal,” *Political Theory*, Vol. 24, No. 2, (May 1996): 155-171. Available online at: <http://www.gwu.edu/~ccps/etzioni/A245.html>
- Etzioni, Amitai. A 308. “Communitarianism.” *Encyclopedia of Community: From the Village to the Virtual World*, Vol 1. Eds. A-D, Karen Christensen and David Levinson (Sage Publications, 2003), pp. 224-228. Available online at: <http://www.gwu.edu/~ccps/etzioni/A308.pdf>
- Velazquez, M. Elkin. “La Gobernabilidad y la gobernanza de la seguridad ciudadana: Hacia una propuesta operacional.” *Borradores de Método*. No 48 (Noviembre 15 de 2006).

Recommended Readings:

- Cerrillo i Martínez, Agustí, coord. *La Gobernanza Hoy: 10 Textos de Referencia*. (Madrid: Instituto de Administración Pública, 2005).
- Dammert, Lucia. "Professional Autonomy and Civil Leadership in the Latin American and Caribbean Police." Global Consortium on Security Transformation, Working Paper (October 2008, 5).
- Bendana, Alejandro. "Rethinking Regional Security in Latin America: Back to the Future," Global Consortium on Security Transformation, Working Paper (October 2008, 2)
- *Western Hemisphere Defense Policy Statement*, Washington, DC. Department of Defense, October 2012.

Day 3 (Wednesday, 17 October, 2012): The Community and the Ethical Foundations of Governance.**Goals:**

- Understand the fundamental principles of the legitimacy of government, governability, and governance that are developed at the philosophical, ethical, political, social and institutional levels. However, ethics and governance are associated as two sides of same coin. First, because both are trying to reaffirm that the democratic purpose should prevail over the means. Second, because democratic governance without an ethical foundation tends to be less peaceful and democratic governance when it acts without an ethical foundation. Additional consideration is given to the importance of the rule of law.

Objectives:

- Participants should be able to understand and describe the relationship between governance and ethics.
- Participants should be able to analyze the importance of ethics in democratic governance.
- Participants should understand and analyze the origins of the concept of the rule of law, why it is stronger in some countries than in others, and how it evolves in relation to other institutions.

Required Readings:

- Arbour, Louise. "The Rule of Law." *The New York Times*, September 26, 2012. Available online at: <http://www.crisisgroup.org/en/publication-type/commentary/arbours-the-rule-of-law.aspx>
- Barber, Putnam. "Checklist of Principles for Good Governance and Ethical Practice," Based on the Guide for Charities and Foundations Published by the Panel on the Nonprofit Sector (a project of INDEPENDENT SECTOR), October 15, 2007.
- Calame, pp. 99-122
- Diescho, Joseph. "A Namibian Perspective on Good Governance and Ethics," *Ethics and Good Governance in Namibia* (Windhoek: Namibia Institute for Democracy, 2000), pp. 31-40. Available online at: <http://www.ictregulationtoolkit.org/en/Publication.1416.html>
- Franceschet, Antonio. "Ethics, Politics and Global Governance." *The Ethics of Global Governance*. Ed. Franceschet, Antonio (Boulder: Lynne Rienner, 2009), pp. 1-22. Available online at: <http://www.rienner.com/uploads/4974bb94698e6.pdf>
- Fukuyama, Francis. "Transition to the Rule of Law." *Journal of Democracy*, 21, 1 (January 2010): 33-44.

Recommended Readings:

- Jale, Anare. "Leadership and Ethics for Governance in a Traditional and Cultural Society." Commonwealth Association for Public Administration and Management. Available online at: <http://www.capam.org/documents/jale.anare.pdf>
- Mahuad, Jamil. "The Ethics of Governance." Speech. William P. Laughlin Lecture Series, Markkula Center for Applied Ethics, Santa Clara University, January 15, 2005. Available online at: http://www.scu.edu/ethics/practicing/focusareas/global_ethics/laughlin-lectures/ethics-governance-mahuad.html
- Sherbourne, Robin. "ALMOST ALL THE INGREDIENTS FOR TROUBLE AHEAD – The Economics of Corruption: Implications for Namibia. *Ethics and Good Governance in Namibia* (Windhoek: Namibia Institute for Democracy, 2000), pp. 53-70. Available online at: <http://www.ictregulationtoolkit.org/en/Publication.1416.html>

Day 4 (Thursday, 18 October, 2012): Dimensions of Governance

Goals:

- Understand that governance is a multidimensional phenomenon that incorporates at least two main elements: political legitimacy on the one hand and effectiveness on the other. However, there are four processes which dynamically move the complex process of the governance of societies: the dilemma of legitimacy/effectiveness; the pressures and demands of the government's environment, or the burden of its responsibilities; the corporate restructuring of civil society and the expansion and technological changes with their demographic repercussions, resulting in ecological and social consequences. Special attention is given to the importance of accountability.

Objectives:

- Participants should understand the importance of the many indicators to measure governance or any of its principal components that have emerged and can now serve as reference points for comparisons, as well as self-evaluations.
- Participants should be able to understand and explain the processes of governance in democratic societies.
- Participants should be able to analyze a government's environment and its impact in legitimacy and effectiveness.
- Participants should analyze and compare the institutions and mechanisms of accountability in different national cases to develop a general theory of interdependence that occurs between them and the type of political regime.

Required Readings:

- *DataGov: Governance Indicators Database*. Inter-American Development Bank. Available online at: <http://www.iadb.org/datagob/index.html>
- del Campo, Esther and Consulo Laiz, "El debate sobre la reforma de cuentas en las Democracias: Una propuesta de analisis." *Gobernanza, democracia y fiscalidad*. Eds. Jesus Ruiz-Huerta and Manuel Villoria. (Madrid: Editorial Tecnos, 2010), pp. 56-86.
- Francois, Rene. "Why Should World Governance Be Evaluated, and for What Purpose?" Forum for a New World Governance, Proposal Papers Series, (January 2009): 1-30. Available online at: http://www.world-governance.org/IMG/pdf_WGI_full_version_EN-2.pdf
- *Fund for Peace: The Failed States Index 2012*. Available online at: <http://www.fundforpeace.org/global/library/cfsir1210-failedstatesindex2012-06p.pdf>
- *Governance Matters 2011; Worldwide Governance Indicators, 1996-2011*. Worldbank 2012. Available online at: <http://info.worldbank.org/governance/wgi/index.asp>

- *Global Integrity: Independent Information on Governance and Corruption*. Available online at: <http://www.globalintegrity.org>
- Global Peace Index 2012. Institute for Economics and Peace (2012). Available online at: <http://www.visionofhumanity.org/wp-content/uploads/2012/06/2012-Global-Peace-Index-Report.pdf>
- *Informe 2011*. Corporación Latinobarómetro (2011). Available online at: <http://www.latinobarometro.org/latino/LATContenidos.jsp>
- Prats i Català, Joan. "Gobernabilidad democrática para el desarrollo humano." *Revista Instituciones y Desarrollo*, 10 (2001): 103-148. Available online at: <http://www.hegoa.ehu.es/dossierra/gobernanza/3-Prats2001.pdf>
- Renaud, Francois. *Índice de Gobernanza Global*. Foro por una Nueva Gobernanza Mundial. Available online at: <http://www.world-governance.org/spip.php?article743&lang=es>
- *World Governance Index: Why Should World Governance be Evaluated and for What Purpose? Version 2.0, 2011 Report*. Forum for a new World Governance (2012). Available online at: http://www.world-governance.org/IMG/pdf_WGI_short_version_EN_web-5.pdf

Recommended Readings:

- Hartley, Jean. "Innovation in Governance and Public Services: Research Evidence and Some Questions" *The Innovation Forum*, The University of Warwick, 2006.
- Stark, David. "For a Sociology of Worth," Working Paper Series, Center on Organizational Innovation, Columbia University, October 2000. Available online at: http://www.coi.columbia.edu/pdf/stark_fsw.pdf.
- *Transparency International*. Available online at: <http://www.transparency.org/>

Day 5 (Friday, 19 October, 2012): Corporatism and Governability

Goals:

- Understand that in the evolution of civil society one of the potentially most difficult and dangerous aspects of politics in advanced societies is the redefinition of the relationship between the state and civil society. A good balance between the two actors depends on how democratic governance has evolved in each society. Corporatism shows the growth of what might be called a society organized in corporations or corporate society. It is the continuation of the trend towards bureaucratization, occupational specialization, and the proliferation of formal organizations in every field of action. All this leads to a deeper and strengthened mediation process between the state monopoly over power and the oligopolistic tendencies of both business organizations and management.

Objectives:

- Participants should be able to understand and describe the importance of achieving a balance between the state and civil society.
- Participants should be able to analyze the relationship of corporatism and organizations in every field of action.
- Participants should be able to understand that while governance is inclusive others, such as corporatism, are not, but that both interplay in the real world.
- Participants should be able to identify that corporatism as a form of hierarchical and stove-piped socio-economic organization may have seen its heyday during World War II, but that today they continue to compete for social organization and control.
- Participants should analyze the evolution of the concept of governance both in academia and in the area of international cooperation to identify various theoretical and practical problems associated with this idea.

Required Readings:

- Ferraro, Agustín. "Gobernanza, desarrollo económico y cooperación internacional." *En búsqueda del buen gobierno: Nuevas perspectivas sobre política y gestión del Estado en América Latina*. Agustín Ferraro, ed. (Barcelona: Ediciones Ballestra, 2007), pp. 229-261.
- Ottaway, Marina. "Corporatism Goes Global." *Global Governance* (September 2001). Available online at: <http://www.carnegieendowment.org/publications/index.cfm?fa=view&id=845>
- Schmitter, Philippe and Jurgen R. Grote. "The Corporatist Sisyphus: Past, Present and Future." European University Institute, EUI Working Paper SPS No. 97/4. Available online at: http://cadmus.eui.eu/bitstream/handle/1814/284/97_4.pdf?sequence=1

Week 2: Governance, Critical Interactions, and Security and Defense

Day 6 (Monday, 22 October, 2012): Institutions and Governability

Goal:

- Understand that representative democracy gives governmental duties to persons who, directly or indirectly, are representatives of citizens. The power of ruling is so strongly institutionalized that all know the rules that create these institutions and those that limit its actions. If a break takes place with these structures and alignments, legitimacy is reduced and effectiveness is affected. These are fundamental elements defining governance and give the representative character to public institutions from which power is exercised in the democratic system.

Objectives:

- Participants should be able to understand the interplay between institutions and governability in the day-to-day life of a society.
- Participants should be able to identify how good governance can lead to better governability, while poorly designed public policies, especially those without popular intervention, may lead to the decline of the state.
- Participants should understand that states become weak as their institutions cease to be responsive and responsible and that subsequent government policies may lead to state failure.
- Participants will analyze international cooperation in terms of the reform of the state from the perspective of judicial systems and its impact on governance.

Required Readings:

- Fondevila, Gustavo. "Reforma del Estado: agenda crítica de la cooperación internacional. Los cambios en la justicia." *En búsqueda del buen gobierno: Nuevas perspectivas sobre política y gestión del Estado en América Latina*. Agustín Ferrero, ed. (Barcelona: Ediciones Ballestra, 2007), pp. 263-284.
- García Hurtado, Alvaro. "Construcción de una Agenda Estratégica Nacional: instituciones claves." *Gobernabilidad y Convivencia Democrática en América Latina*. (Santiago de Chile: FLACSO, 2010.). Available online at: <http://www.flacso.org/uploads/media/AlvaroGARCIA.pdf>
- Hyden, Goran Julius Court and Kenneth Mease. "Making Sense of Governance: The Need for Involving Local Stakeholders". Available online at: <http://www.odi.org.uk/resources/download/3135.pdf>
- McLoughlin, Claire. *Topic Guide on Failed States*. Governance and Social Development Resource Center (March 2012). pp. 1-35. Available online at: <http://www.gsdrc.org/docs/open/CON86.pdf>

- Putzel, James and Jonathan Di John. *Meeting the Challenges of Crisis States, Executive Summary*. (London: Crisis States Research Centre at the London School of Economics, 2012). Available online at: <http://www2.lse.ac.uk/internationalDevelopment/research/crisisStates/download/finalreport/Meeting-the-Challenges-Executive-Summary.pdf>

Recommended Readings:

- Haider, Huma. *Topic Guide on Conflict*. Governance and Social Development Resource Center (December 2009/2012). Available online at: <http://www.gsdrc.org/docs/open/CON69.pdf>
- Putzel, James and Jonathan Di John. *Meeting the Challenges of Crisis States*. London: Crisis States Research Centre at the London School of Economics, 2012. Available online at: <http://www2.lse.ac.uk/internationalDevelopment/research/crisisStates/download/finalreport/Meeting-the-Challenges-of-Crisis-States.pdf>

Day 7: (Tuesday, 23 October, 2012): The Nation-State, Nationalism, Globalization and Governability.

Goal:

- Understand that the academic definition of the state is the set of institutions through which a given population living in an area defined by boundaries is governed and that this government has the monopoly over the use of forces. On the other hand the term nation involves reference to what liberalism considered the rights attributed to the nations (groups of peoples) and not to regions or continents; nations in terms of liberalism have the attributes of sovereignty (self-government). In consequence democratic sovereignty is an attribute of nations in which a national assembly that represents the constitution makes the rules. This is a stage when nationalism can appear (though it can also emerge before a nation-state is created, during the process of national liberation. It can also be the case that governance can be dependent on the national identity of a citizen, which is a matter of social perception (but also is a dominant process through which citizenship emerges).

Objectives:

- Participants should understand that there are ties between their local reality and the wider, globalized world that can benefit or hurt them.
- Participants should be able to link the concepts of the nation-state, nationalism, globalization and governance into a coherent whole that emphasizes the interrelationship of actors and practices at these levels.

Required Readings:

- Cafferata, Fernando Gabriel. "Privatisation of Security in Latin America: Review," Global Consortium on Security Transformation, Working Paper Series, (3, June 2010).
- Calame, Pierre, coord. "Remodelling Global Governance to Meet the Challenges of the 21st Century." Alliance for a Responsible, Plural and United World, 2001, pp. 9-30. Available online at: http://www.world-governance.org/IMG/pdf_0001_Refonder_la_gouvernance_mondiale_pour_repondre_aux_defis_-_ENG.pdf

Recommended Readings:

- Marín, Gustavo. *Después de Rio+20, ¿qué nueva gobernanza mundial el mundo*

precisa? Foro para una nueva Gobernanza Mundial. (1 Julio 2012). Available online at: http://www.world-governance.org/IMG/pdf_Después_de_Rio_20_que_nueva_gobernanza_mundial_el_mundo_precisa_-2.pdf

- Foro para una nueva Gobernanza Mundial. “El resentimiento y la gobernanza mundial.” (Diciembre 2008). Available online at: http://www.world-governance.org/IMG/pdf_pdf_Cuaderno_Resentimiento_y_Gobernanza.pdf

Day 8 (Wednesday, October 24, 2012): The Relationships between Governance and Defense and Governance and Security

Goal:

- Explore and understand that the evolution of societies requires new public regulations. Today’s societies of knowledge have produced profound changes in the production of goods and services, as well as in development conditions. In response to social evolution, goods and services should be decoupled. Analyses of security and defense as “common” or “public” goods and services that are shared by all of society are to some extent determined by the efficiency and effectiveness of the public action. The close relationship between governance and security and defense lies primarily in the institutional framework, training system and flow of information for concerted action, among the various levels of governance in order to cooperate, that is to act together in favorable conditions in several fronts at once.

Objectives:

- Participants should be able to describe the relationship between security and governance and defense and governance.
- Participants should be able to consider alternatives taking into account some of the basic elements of governance as they apply to current society-security and society-defense relationships.
- Participants should be able to understand that as citizen-driven demands for security become more vocal, along with increases of common criminality, and in some cases organized crime, state responses appear repressive and are not always inclusive, an indispensable ingredient of governance-driven security.

Required Readings:

- Bachelet, Jean Rene. “Military Ethics for a Better World. Presentation to the Kyrgistan seminar.” *Forum for a New Governance* (October 28, 2008). Available online at: http://www.world-governance.org/IMG/doc_Military_Ethics.doc
- Kessler, Gabriel, compilador. *Seguridad y Ciudadana: Nuevos Paradigmas, reforma policial y políticas innovadoras*. (Buenos Aires, Edhasa, 2009), pp. 15-24, 159-168. Available online at: http://www.undp.org.ar/docs/Libros_y_Publicaciones/KesslerSeguridad.pdf
- Pyman, Mark. “Construyendo Integridad y combatiendo la corrupción en los sectores de defensa y seguridad: 20 reformas practicas (London: Transparency International: 2011/ 2012). Available online at: http://files.transparency.org/content/download/458/1887/file/2009_HandbookBuildingIntegrit_y_ES.pdf

Recommended Readings:

- Bachelet, Jean Rene. “Bringing the Violence of War under Control in a Globalized World: Problems, limitations and perspectives of using weapons to build a better world.” *Forum for a New Governance* (April 2009). Available online at: http://www.world-governance.org/IMG/pdf_Bachelet_-_Maitriser_la_violence_guerriere_-_Resum_EN-2.pdf

- Mason, John, et. al. "Training for Good Governance & Civil-Military Relations: Impact Assessment of the Office of Transition Initiatives/Nigeria Program," U.S. Department of State, Policy and Program Coordination Bureau, Center for Development, Information & Evaluation, Performance Measurement & Evaluation Division, Contract #: AEP-C-00-99-00034-00 (April 11, 2000). Available online at: http://pdf.usaid.gov/pdf_docs/PNACH680.pdf
- Merrill, Susan, ed. *Security Sector Reform: A Case Study Approach to Transition and Capacity Building*, January 5, 2010. Available online at: <http://www.strategicstudiesinstitute.army.mil/pdffiles/PUB960.pdf>
- Merrill, Susan, ed. *Guide to Rebuilding Governance in Stability Operations: A Role for the Military?* (June 2009). Available online at: <http://www.strategicstudiesinstitute.army.mil/pdffiles/PUB925.pdf>

Day 9 (Thursday, October 25, 2012): Legitimacy and Efficiency

Goal:

- Understand that the effectiveness of government is not simply the attainment of its objectives. So, the measure of government efficiency may be determined by the expectations of society which could affect the legitimacy of political power (no or poor services rendered = little or no political legitimacy and support). When it comes to government legitimacy, the reference is not simply to the acceptance of citizens of state actions, or the legitimacy of origin, or electoral legitimacy, but rather the very exercise of power over the majority of citizens who accept democratic legitimacy. This legitimacy has multiple, often conflicting, claims to the extent that there is a response to competing social interests. Current problems of governance emerge when there are incompatible conflicts of interest and there is no accepted mediating process or institution.

Objectives:

- Participants should be able to understand the importance of legitimacy as a pre-condition to sustained governance-driven public policies that are sustainable and promote stability with growth.
- Participants should be able to recognize the great importance the citizenry places on security issues, as their personal wellbeing is questioned by violence that the state has a difficulty in responding to.
- Participants should have a clear idea of how legitimacy and efficiency compete as governance-driven public policies force choices that will not always be Pareto optimal (optimal distribution of resources for an optimal set of outcomes).
- Participants will analyze and understand the model of open government and the ten key elements to understanding cooperation in this context.

Required Readings:

- Calderon, Cesar y Sebastian Lorenzo. "Introduccion: ¿Que es el gobierno abierto?" *Open Government: Gobierno Abierto* (Alcala Real: Algon Editores, 2010), pp. 11-19. Available online at: <http://bibliotecadigital.org/bitstream/001/163/8/978-84-937218-5-5.pdf>
- Linares, Javier. "Las 10 Claves para entender la colaboracion en el mundo *Open Government*." *Open Government: Gobierno Abierto* (Alcala Real: Algon Editores: 2010), pp. 51-74. Available online at: <http://bibliotecadigital.org/bitstream/001/163/8/978-84-937218-5-5.pdf>
- van Kersbergen, Kees and Frans van Waarden. "'Governance' as a bridge between disciplines: Cross-disciplinary inspiration regarding shifts in governance and problems of governability, accountability and legitimacy." *European Journal of Political Research* 43 (2004): 143-171. Available online at:

http://www.bibliotecaib.org/Portals/0/docs/Maestrias/Alta_Direccion_Publica/16.%20Governance%20as%20a%20bridge%20between%20disciplines%20Kersbergen.pdf

- Wallner, Jennifer. "Legitimacy and Public Policy: Seeing Beyond Effectiveness, Efficiency, and Performance. *The Policy Studies Journal*, Vol. 36, No. 3 (2008): 421-443. Available online at: <http://onlinelibrary.wiley.com/doi/10.1111/j.1541-0072.2008.00275.x/pdf>

Recommended Readings:

- Gonzalez Guyer, Julian, compilador. *Debate Nacional sobre Defensa: Aportes Internacionales*. Programa de las Naciones Unidas para el Desarrollo (PNUD) Uruguay (2006). Available online at: http://www.mdn.gub.uy/public/007_aportes_internacionales.pdf
- González Guyer, Julián, compilador. *Debate Nacional sobre Defensa: Aportes para una ley de Defensa Nacional*. Programa de las Naciones Unidas para el Desarrollo (PNUD) Uruguay (2006). Available online at: http://www.mdn.gub.uy/public/007_libro_defensa2.pdf
- González Guyer, Julián, compilador. *Debate Nacional sobre Defensa: Aportes para una nueva ley orgánica de las FF.AA*. Programa de las Naciones Unidas para el Desarrollo (PNUD) Uruguay (2007). Available online at: http://www.google.com/url?sa=t&rct=j&q=&esrc=s&frm=1&source=web&cd=5&cad=rja&ved=0CEUQFjAE&url=http%3A%2F%2Fwww.undp.org.uy%2FgetFile.asp%3FFile%3DDebatenacionalsobredefensa3_web.pdf%26Alias%3D01-29-2009-06-18-52p.m.-37.pdf&ei=1jR0UPfoKOKA0AGxt4HIAQ&usq=AFQjCNFZa5TNwf29ON_jDuG1Nmt9HkBPHA&sig2=ytHjDkAEknfhsqYfEaEgnw

Day 10 (Friday, October 26, 2012): Case Studies: Venezuela/Colombia

Goals:

- Understand that under the populist rule of President Hugo Chávez, first elected in 1998 and reelected to a six-year term in October 2012, Venezuela has undergone enormous political changes. These include a new Constitution, a unicameral legislature, a new name for the country, the Bolivarian Republic of Venezuela, a clear weakening of democratic governance, a poor and declining institutional quality, and the increase of political instability. The institutional reforms implemented by President Chavez, which have dramatically increased the stakes of power, producing a complete breakdown in political cooperation, are key determinants in explaining the very polarized and political unstable situation of Venezuela. U.S. officials, international and human rights organizations have expressed concerns about the decline in governance and the low quality of institutions in Venezuela. The future is uncertain; especially as the leadership of social change depends on one man.
- Understand the challenges posed by the struggle against insurgency and organized crime (at times called narcoinsurgency/narcoterrorism) in Colombia. Explore the dynamics of the governance and governability of the Uribe and the Santos administrations, particularly as they relate to the ravages caused by organized crime.

Objectives:

- Participants should be able to assess the existing conditions of Venezuela and Colombia, from the perspective of challenges to governance, as well as possible alternatives to improve it.
- Participants should understand that meaningful and lasting solutions to Venezuela's myriad of problems, but especially, violence and corruption, must be governance-driven.
- Participants should understand that the medium and long-term solutions to the internal struggle faced by Colombia have strong components of governance.

Required Readings:

- Corrales, Javier and Michael Penfold “Venezuela: Crowding out the Opposition.” *Petroleum World*. 2006. Available online at: <http://www.petroleumworld.com/SF07050601.htm>
- Magadleno G., John. “Cómo mejorar la gobernabilidad en una sociedad políticamente dividida? La gobernabilidad en el contexto de un cleavage sociopolítico.” *Gobernanza: Laberinto de la Democracia* (Caracas: Polity Consultores en Asuntos Públicos, 2005): 1-8. Available online at: <http://polityconsultores.files.wordpress.com/2011/08/cc3b3mo-mejorar-la-gobernabilidad-en-una-sociedad-polc3adticamente-dividida.pdf>
- Marcella, Gabriel. “Democratic Governance and the Rule of Law: Lessons from Colombia.” (Carlise, PA; US Army War College, 2009). Available online at: <http://www.strategicstudiesinstitute.army.mil/pdf/PUB955.pdf>
- Palau, Juan Carlos. “Debilidades de la gobernanza en Colombia que impiden combatir el crimen organizado.” *Crimen organizado y gobernanza en la región andina: cooperar o fracasar*. Ed. Catalina Niño (Quito: Friedrich Ebert Stiftung en Ecuador, 2012), pp. 77-88. Available online at: <http://library.fes.de/pdf-files/bueros/quito/09067-20120530.pdf>

Recommended Readings:

- Niño, Catalina. *Crimen organizado y gobernanza en la región andina: cooperar o fracasar*. Ed. Catalina Niño, (Quito: Friedrich Ebert Stiftung en Ecuador, 2012). Available online at: <http://library.fes.de/pdf-files/bueros/quito/09067-20120530.pdf>

Week 3: Private Security, Organized Crime, Case Studies, Course Wrap-up, Test, and Presentations

Day 11 (Monday, October 29, 2012): Private Security

Goals:

- Understand the nature of the power of privatization and the privatization of power in the field of security/defense generates the weakening of state action in providing for the common good of the citizen, society, and the nation security as a whole. The problem is aggravated by the state's inability to establish control and oversight for the companies providing these services allowing corruption through the penetration of organized crime in the security and defense without effective state control.

Objectives:

- Participants should be able to understand the existing conditions of private security participation in security and defense issues, the impact of private sector in security and challenges to governance, as well as possible alternatives to improve its participation with the adequate state control and oversight
- Participants should be able to understand that private sector in security and defense is a growing industry that increases its participation with globalization, however, corruption, could be negative driven force affecting governance and governability.

Required Readings:

- *The Montreux Document On pertinent International legal obligations and good practices for States related to operations of private military and security companies during armed conflict*. (Geneva, SW: International Committee of the Red Cross, August 2009). Available online at: <http://www.eda.admin.ch/etc/medialib/downloads/edazen/topics/intla/humlaw.Par.0078.File.tmp/Montreux%20Broschuere.pdf>

Recomendad Readings:

- *Actores Armados no Estatales: Retos a la Seguridad Global*, Cuadernos de Estrategia No 152. (Madrid: Ministerio de Defensa, Instituto Español de Estudios Estratégicos, Centro Mixto Universidad de Granada-Mando de Adiestramiento y Doctrina del Ejército de Tierra, Junio 2011). Available online at:
http://www.portalcultura.mde.es/Galerias/publicaciones/fichero/CE_152.pdf
- Schreier, Fred and Marina Caparini. *Privatizing Security: Law, Practice and Governance of Private Military and Security Companies*, Occasional Papers - №6 (Geneva, SW: Centre for the Democratic Control of Armed Forces, March 2005). Available on line at:
http://hawk.ethz.ch/serviceengine/Files/ISN/14077/ipublicationdocument_singledocument/918d0282-67b9-463d-9ba1-27681d4ea15b/en/occasional_6.pdf

Day 12 (Tuesday, October 30, 2012): Transnational Organized Crime

Goals:

- Participants will understand the security threats generated by organized crime and other factors that are weakening the ability of states to meet their defense and security needs. This session seeks to motivate participants to identify issues of prioritizing problems and strategies, of allocating resources, and of improving processes for information sharing, joint management, and coordinated responses to problems. The general context is the reality that transnational organized crime requires concerted responses that include not only that administration of justice, but mechanisms that are an inherent part of governance.

Objectives:

- What are the most significant transnational organized crime challenges faced by you're the region and your country?
- How do new modalities of transnational organized crime impact international coordination from the perspective of your country's interests?
- Identify and discuss responses to the organized crime challenges faced by the region and your country and evaluate their effectiveness.
- What are the best or most effective responses that involve an emphasis on governance and governability, to transnational organized crime issues faced by the region and your country?

Required Readings:

- Ávila Martínez, Ariel Fernando. "Crimen organizado, narcotráfico y seguridad." *Crimen organizado y gobernanza en la región andina: cooperar o fracasar*. Ed. Catalina Niño (Quito: Friedrich Ebert Stiftung en Ecuador, 2012), pp. 29-40. Available online at:
<http://library.fes.de/pdf-files/bueros/quito/09067-20120530.pdf>
- Gomez Hecht, Juan Ricardo. "Crimen Organizado en El Salvador: Sus efectos perniciosos en la gobernanza y gobernabilidad del País." (2011), Mimeo.
- Riberio, Ludmila and Rachel Maitre. "La prevención del delito y la participación comunitaria en América Latina: algunos aportes." Global Consortium on Security Transformation, Working Papers Series, 2, June 2010.
- Ruggiero, Vincenzo. "Organized Crime: Between the Informal and the Formal Economy." Global Consortium on Security Transformation, Working Papers Series, 4, July 2010.
- *United Nations Convention against Corruption*. Available online at:
at:http://www.unodc.org/documents/treaties/UNCAC/Publications/Convention/08-50026_E.pdf
- *United Nations Convention Against Transnational Crime and the Protocols Thereto*. Available online at:

<http://www.unodc.org/documents/treaties/UNTOC/Publications/TOC%20Convention/TOCbook-e.pdf>

Recommended Readings:

- United Nations Office on Drugs and Crime. <http://www.unodc.org/unodc/index.html>

Day 13 (Wednesday October 31, 2012): Case Studies

Goals:

- This session will serve to review case studies of governance and governability, with a special focus on transnational organized crime in the region.

Day 14 (Thursday, November 1, 2012): Course Wrap-up (most important issues discussed during In-residence phase and In-class final exam)

Goals:

- This session will serve as a course review and will focus on what has been learned and any questions related to course content.
- Participants will take an open book in-class exam.

Day 15 (Friday, November 2, 2012): Presentation of Paper Proposals and Graduation

Goals:

- Participants will make a 10 to 15 minute presentation of their research proposal.