

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



**GOVERNANCE, GOVERNABILITY AND SECURITY IN THE AMERICAS:  
RESPONSES TO TRANSNATIONAL CRIMINAL ORGANIZATIONS  
(TCOs)  
GGSA (2011)**

**Distributive-Learning I**

**Monday, September 12, 2011 – Friday, October 7, 2011**

**In-Residence**

**Monday, October 17, 2011 – Friday, November 4, 2011**

**Distributive Learning II**

**Monday, November 7, 2011 – Monday, January 9, 2012**

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## Course Introduction and General Description

This is a 14-week course, mixing on-line 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 four-week pre-course phase, on-line, 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. 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 on-line, 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 60 to 80 pages per week during the pre-course phase, and about 60 to 80 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)<sup>1</sup> 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).

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<sup>1</sup> 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

### Pre-course phase (4 weeks)

The pre-phase of the course lasts four weeks and will be conducted on-line and via email between the professor and the students. The pre-course 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 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**

## **Pre-course Phase - Preparatory (on line)**

### **Monday, September 12, 2011 – Friday, October 7, 2011**

#### **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 establish reference frameworks for each other in the form of professional and personal information germane to the topics of the course, especially and interest in good governance, governability, public policy and the challenges posed by the illegal activities of TCOs.
- Participants should be able to explain the relevance of politics governability and governance (governanza) to public administration, including defense and security.
- Participants should be able to give a general description of the course.

#### **Week 2:**

##### **Goal:**

- Orient and inform participants about the course concept and its requirements and provide them with an overview on the main themes of the course.

##### **Objectives:**

- Participants should be able to explain the differences between governability and governance (governanza).
- Participants should be able to explain the relevance of governability and governance (governanza) to public administration, including defense and security.
- Participants should be able to give a general description of the course.

**Readings:** [GGSA Course Syllabus 2011.](#)

##### **Required Readings:**

- Fukuyama, Francis, "The Necessity of Politics," in *The Origins of Political Order: From Prehuman Times to the French Revolution*. New York: Farrar, Strauss and Giroux, 2011. Pp. 3-15.
- *What is Good Governance?* Available online at: <http://www.unescap.org/huset/gg/governance.htm>
- Weber, Max. "Politics as a Vocation." Available at [http://www.ne.jp/asahi/moriyuki/abukuma/weber/lecture/politics\\_vocation.html](http://www.ne.jp/asahi/moriyuki/abukuma/weber/lecture/politics_vocation.html)

- Weber, Max, Science as a Vocation.” Available at [http://www.ne.jp/asahi/moriyuki/abukuma/weber/lecture/science\\_frame.html](http://www.ne.jp/asahi/moriyuki/abukuma/weber/lecture/science_frame.html)

### **Recommended Reading:**

- Rachman, Gideon. “A World of Anxiety,” in *Zero-Sum Future: American power in an Age of Anxiety*. New York: Simon & Schuster, 2011. Pp. 197-231.

## **Week 3**

### **Goal:**

- Provide general 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 governability, governance and defense and security.

### **Required Reading:**

- 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, pp. 159 – 210.

### **Recommended Reading:**

- Khanna, Parag. “Getting Rights Right,” in *How to Run the World: Charting a Course to the Next Renaissance*. New York: Random House, 2011. Pp. 120-132.

## **Week 4**

### **Goals:**

- Understand and assess the importance of governability and governance (governanza) in the present and the recent past.
- Consolidate the learning points of the previous weeks and finalize their respective research-paper proposal.
- Prepare for travel and the in-residence phase

### **Objective**

- Participants should be able to explain governability, governance and good government and their the relevance of these practices in the contemporary world.
- Finalize the research-paper proposal

# **IN-RESIDENCE PHASE**

**Monday October 17-Friday November 4, 2011**

## **Week 1: Governance and Development**

### **Day 1 (Monday, October 17, 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 18, 2011): Society-Government-State Relationships

The introductory lecture should establish the importance of governance as a transitional concept from the institutionalist 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.

### Goal:

- 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:

- Etzioni, Amitai. "A Moderate Communitarian Proposal," *Political Theory*, Vol. 24, No. 2, (May 1996) pp. 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, A-D, Karen Christensen and David Levinson, eds. (Sage Publications, 2003) pp. 224-228. Available online at: <http://www.gwu.edu/~ccps/etzioni/A308.pdf>

### Recommended Readings:

- Dammert, Lucia. "Professional Autonomy and Civil Leadership in the Latin American and Caribbean Police." Global Consortium on Security Transformation, Working Paper, October 2008, 5. Available online at: [http://www.securitytransformation.org/images/publicaciones/29\\_WP5\\_-\\_Lucia\\_Dammert.pdf](http://www.securitytransformation.org/images/publicaciones/29_WP5_-_Lucia_Dammert.pdf)
- Bendana, Alejandro. "Rethinking Regional Security in Latin America: Back to the Future," Global Consortium on Security Transformation. Working Paper, October 2008, 2. Available online at: [http://www.securitytransformation.org/images/publicaciones/32\\_WP2\\_-\\_Alejandro\\_Bendana.pdf](http://www.securitytransformation.org/images/publicaciones/32_WP2_-_Alejandro_Bendana.pdf)

## Day 3 (Wednesday, 19 October, 2011): 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

### Objectives:

- Participants should be able to understand and describe the relationship between governance and ethic.
- Participants should be able to analyze the importance of ethics in democratic governance.

### Required Readings:

- 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) on October 15, 2007.
- Diescho, Joseph. "A Namibian Perspective on Good Governance and Ethics," *Ethics and Good Governance in Namibia* (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, in *The Ethics of Global Governance*, Franceschet, Antonio, ed., (Lynne Rienner, 2009), pp. 1-22. Available online at: <http://www.rienner.com/uploads/4974bb94698e6.pdf>
- 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>
- Sherbourne, Robin. "ALMOST ALL THE INGREDIEANTS FOR TROUBLE AHEAD – The economics of corruption: implications for Namibia. *Ethics and Good Governance in Namibia* (Namibia Institute for Democracy, 2000), pp. 53-70. Available online at: <http://www.ictregulationtoolkit.org/en/Publication.1416.html>

### Recommended Readings:

- Kaufmann, Daniel "Myths and Realities of Governance and Corruption" World Bank." Available online at: [http://mpr.ub.uni-muenchen.de/8089/1/Myths\\_Realities\\_Gov\\_Corruption.pdf](http://mpr.ub.uni-muenchen.de/8089/1/Myths_Realities_Gov_Corruption.pdf)

## Day 4 (Thursday, 20 October, 2011): 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.

### 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.

### Required Readings:

- *DataGov: Governance indicators database*. Inter-American Development Bank. Available online at: <http://www.iadb.org/datagob/index.html>
- Francois, Rene. "Why Should World Governance Be Evaluated, and for What Purpose?" Forum for a new World Governance, Proposal Papers Series, (January 2009), pp: 1-30.. Available at: [http://www.world-governance.org/IMG/pdf\\_WGI\\_full\\_version\\_EN-2.pdf](http://www.world-governance.org/IMG/pdf_WGI_full_version_EN-2.pdf)
- *Fund for Peace: Promoting Sustainable Security*. Available online at: <http://www.fundforpeace.org/web/>
- *Governance Matters 2009; Worldwide Governance Indicators, 1996-2009*. Worldbank 2011. Available online at: <http://info.worldbank.org/governance/wqi/index.asp>
- Hartley, Jean. "Innovation in governance and public services: Research evidence and some questions" The Innovation Forum, The University of Warwick, 2006. Available online at: <http://www.idea.gov.uk/idk/aio/6215825>
- 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](http://www.coi.columbia.edu/pdf/stark_fsw.pdf).
- *Transparency International*. Available online at: <http://www.transparency.org/>

### Recommended Readings:

- Kaufmann Daniel, "Rethinking Governance Empirical Lessons Challenge Orthodoxy." Available online at: <http://129.3.20.41/eps/mac/papers/0308/0308007.pdf>

## Day 5 (Friday, 21 October, 2011): Corporatism and Governability

### Goal:

- 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 the 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.

### Required Readings:

- 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.  
[http://cadmus.eui.eu/bitstream/handle/1814/284/97\\_4.pdf?sequence=1](http://cadmus.eui.eu/bitstream/handle/1814/284/97_4.pdf?sequence=1)

### Recommended Readings:

- Bryden, Alan & Caparini, Marina "Private Actor and Security Governance." **Part I: "Approaching the Privatization of Security from a Security Governance Perspective"** Available online at: <http://www.isn.ethz.ch/isn/Digital-Library/Publications/Detail/?ots591=cab359a3-9328-19cc-a1d2-8023e646b22c&lng=en&id=116022>

## **Week 2: Governance and Some Critical Interactions**

### **Day 6 (Monday, 24 October, 2011): 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 understand the role that “communitarianism” may play as one of other philosophical foundations on which governance can be built.
- 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 governance, 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.

#### **Required Readings:**

- 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* (February 2011). pp. 1-35. Available online at: <http://www.gsdr.org/docs/open/CON86.pdf>

#### **Recommended Readings:**

- Haider, Huma. *Topic Guide on Conflict*. (December 2009). Pp. 5-38. Available online at: <http://www.gsdr.org/docs/open/CON69.pdf>

## **Day 7: (Tuesday, 25 October, 2011): 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 2011).. Available online at: [http://www.securitytransformation.org/images/publicaciones/160\\_Working\\_Paper\\_3\\_-\\_Privatisation\\_of\\_Security\\_in\\_Latin\\_America\\_-\\_Review.pdf](http://www.securitytransformation.org/images/publicaciones/160_Working_Paper_3_-_Privatisation_of_Security_in_Latin_America_-_Review.pdf)
- "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](http://www.world-governance.org/IMG/pdf_0001_Refonder_la_gouvernance_mondiale_pour_repondre_aux_defis_-_ENG.pdf)

### **Recommended Readings:**

- Bryden, Alan and Marina Aparini, eds. *Private Actors and Security Governance*. Geneva: LIT and Geneva Centre for the Democratic Control of Armed Forces, 2006.
- National Policy Summit: Building Private Security/Public Policing Partnerships to Prevent and Respond to Terrorism and Public Disorder. *Policy Paper: Private Security/Public Policy: Vital Issues and Policy Recommendations, 2004*. International Association of Police Chiefs: 2004. Available at: <http://www.theiacp.org/Portals/0/pdfs/Publications/ACFAB5D.pdf>

## Day 8 (Wednesday, October 26, 2011): 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 at: [http://www.world-governance.org/IMG/doc\\_Military\\_Ethics.doc](http://www.world-governance.org/IMG/doc_Military_Ethics.doc)
- Merrill, Susan, ed. *Security Sector Reform: A Case Study Approach to Transition and Capacity Building*, January 5, 2011. Available online at: <http://www.strategicstudiesinstitute.army.mil/pdf/PUB960.pdf>
- Merrill, Susan, ed. *Guide to Rebuilding Governance in Stability Operations: A Role for the Military?* (June 2009). Available at: <http://www.strategicstudiesinstitute.army.mil/pdf/PUB925.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 on-line at: [http://www.world-governance.org/IMG/pdf\\_Bachelet\\_-\\_Maitriser\\_la\\_violence\\_guerriere\\_-\\_Resum\\_EN-2.pdf](http://www.world-governance.org/IMG/pdf_Bachelet_-_Maitriser_la_violence_guerriere_-_Resum_EN-2.pdf)
- Dammert, Lucia, ed. *Report on the Security Sector in Latin America and the Caribbean*. Santiago, Chile: FLACSO; 2007. Available on-line at: <http://pdba.georgetown.edu/Security/referencematerials/biblios.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](http://pdf.usaid.gov/pdf_docs/PNACH680.pdf)

## Day 9 (Thursday, October 27, 2011): 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).

### Required Readings:

- Ruggiero, Vincenzo. "Organized Crime: Between the Informal and the Formal Economy." *Global Consortium on Security Transformation*, Working Papers Series, 4, July 2011. [http://www.securitytransformation.org/images/publicaciones/163\\_Working\\_Paper\\_4\\_-\\_Organized\\_Crime\\_Between\\_the\\_Informal\\_and\\_the\\_Formal\\_Economy.pdf](http://www.securitytransformation.org/images/publicaciones/163_Working_Paper_4_-_Organized_Crime_Between_the_Informal_and_the_Formal_Economy.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, pp.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](http://www.bibliotecaib.org/Portals/0/docs/Maestrias/Alta_Direccion_Publica/16.%20Governance%20as%20a%20bridge%20between%20disciplines%20Kersbergen.pdf)
- *United Nations Convention against Corruption*. Available on-line at: [http://www.unodc.org/documents/treaties/UNCAC/Publications/Convention/08-50026\\_E.pdf](http://www.unodc.org/documents/treaties/UNCAC/Publications/Convention/08-50026_E.pdf)
- *United Nations Convention Against Transnational Crime and the Protocols Thereto*. Available on-Line at: <http://www.unodc.org/documents/treaties/UNTOC/Publications/TOC%20Convention/TOCebook-e.pdf>
- Wallner, Jennifer. "Legitimacy and Public Policy: Seeing Beyond Effectiveness, Efficiency, and Performance." *The Policy Studies Journal*, Vol. 36, No. 3, 2008, pp. 421 –

443. Available online at: <http://onlinelibrary.wiley.com/doi/10.1111/j.1541-0072.2008.00275.x/pdf>

**Recommended Readings:**

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

## Day 10 (Friday, October 28, 2011): Case Studies: Mexico

### Goals:

- Understand that Mexico is experiencing today an increased level of internal conflict that could be considered almost paradigmatic of a state on the way to failure. Mexico has become a fragile state as a result of: drug trafficking, kidnapping, terrorism, murder, corruption, an economic downturn of moderate scope, general lawlessness, and a significant brain drain. Today the country is less safe and the agents of violence are clearly on the offensive. Much work lies ahead to secure the democratic system. Security and the rule of law are fundamental to the task. As the monopoly over the legitimate use of force is re-established, democratic governance also needs the architecture of law: the government, the non-governmental actors, and civil society as a whole, should promote a culture of lawfulness. Without a collective effort between the state and the citizenry, Mexico's troubles are not likely to diminish.

### Objectives:

- Participants should be able to assess the existing conditions of Mexico, especially the high level of violence, from the perspective of challenges to governance, as well as possible alternatives to improve it based on governance-driven public security policies.
- Participants should understand that meaningful and lasting solutions to Mexico's myriad of problems, but especially, violence and corruption, must be governance-driven.

### Required Readings:

- Emmerich, Gustavo Ernesto, et. al. "The State of Democracy in Mexico," *Norteamerica*, Vol. 5, No. 1, January-June, 2010, pp. 247-285. Available online at: <http://www.google.com/url?q=http://www.revistas.unam.mx/index.php/nam/article/download/24153/22686&sa=U&ei=3ymXTrCpGerm0QGA37yIBA&ved=0CBkQFjAD&usq=AFQjCNH-XTZAVW-86Dlja18CudkEqX0hHA>

### Recommended Readings:

- Moreno, Alejandro and Patricia Mendez. "Attitudes Toward Democracy: Mexico in Comparative Perspective." *Word Values Survey*. Available online at: [http://www.worldvaluessurvey.org/wvs/articles/folder\\_published/publication\\_511/files/5\\_ArticleMorenoMendez.pdf](http://www.worldvaluessurvey.org/wvs/articles/folder_published/publication_511/files/5_ArticleMorenoMendez.pdf)
- Marcella, Gabriel. *Democratic Governance and the Rule of Law: Lessons from Colombia*. (November 27, 2009). Available online at: <http://www.strategicstudiesinstitute.army.mil/pdf/files/PUB955.pdf>

## **Week 3: Governance and Security and Defense & Course Wrap-up, test, and Presentations**

### **Day 11 (Monday, October 31, 2011): Case Studies: Guatemala**

#### **Goal:**

- Understand that the state of democratic governance in Guatemala is precarious. The 1996 Peace Accords provided an important opportunity for the advance of formal democracy, but the security and intelligence bodies that had been responsible for dramatic human rights violations did not simply disappear by decree. These structures no longer have the resources of the state, but they continue to operate in a clandestine fashion and have been able to take advantage of new opportunities for action as they arise. In the political arena, corruption, the lack of transparency, impunity, violence and insecurity have led to a severe loss of credibility of Guatemala's institutions. The state has lost control of the legitimate use of force, and private security guards vastly outnumber the National Police. Impunity and the lack of independence of the judiciary are corroding Guatemalan society, permitting that organized crime flourishes. The increase in citizen insecurity levels, rising corruption in government institutions, the frequent failures in the fight against impunity, and the systematic intimidation of the justice system are putting Guatemala well on the way of state fragility.

#### **Objectives:**

- Participants should be able to assess the existing conditions of Guatemala, from the perspective of challenges to governance, as well as possible alternatives to improve it.
- Participants should understand that meaningful and lasting solutions to Guatemala's myriad of problems, but especially, violence and corruption, must be governance-driven.

#### **Required Readings:**

- Brands, Hals. *Crime, Violence, and the Crisis in Guatemala: A Case Study in the Erosion of the State* (May 2011). Available at: <http://www.strategicstudiesinstitute.army.mil/pdffiles/PUB986.pdf>

#### **Recommended Readings:**

- Arnusch, Aleisha; Meharg, Sarah; Merrill, Susan (Editor). "A Primer to Security Sector Reform." PKSOI Papers: Security Sector Reform: A Case Study Approach to Transition and Capacity Building.

## Day 12 (Tuesday, November 1, 2011): Case Studies: Venezuela

### Goal:

- Understand that under the populist rule of President Hugo Chávez, first elected in 1998 and reelected to a six-year term in December 2006, 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 the leadership of social change depends on one man,

### Objectives:

- Participants should be able to assess the existing conditions of Venezuela, 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.

### Required Readings:

- Canach, Damrys. "Chavismo and Democracy in Venezuela." Paper presented at the Symposium *Prospects for Democracy in Latin America*, Denton, TX: University of North-Texas, April 5-6, 2007 Available online at: [www.psci.unt.edu/canache.doc](http://www.psci.unt.edu/canache.doc)

### Recommended Readings:

- Hawkins, Kirk A. (2010). Chavismo, Populism and Democracy. In *Venezuela's Chavismo and Populism in Comparative Perspective* (15-49). New York: Cambridge University Press.

**Day 13 (Wednesday, November 2, 2011): Course Wrap-up (most important issues discussed during In-residence phase)**

This session will serve as a course review and will focus on what has been learned and any questions related to course content.

**Day 14 (Thursday, November 3, 2011): In-class final exam**

Participants will take an open book in-class exam.

**Day 15 (Friday, November 4, 2011): Presentation of Paper Proposals and Graduation**

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