DPI-403

Class 1: Introduction
Concepts of Democratic Governance
Structure of class

What are the major alternative concepts of democratic governance.

1. Electoral democracy:
   - Joseph Schumpeter

2. Liberal democracy:
   - Robert Dahl

3. ‘Good’ governance:
   - World Bank Institute (Kaufmann/Kraay)
Key questions

• How would you assess the strengths and weaknesses of alternative concepts of democracy and governance?

• Which of these concepts would you use to assess the quality of democratic governance in your home region, for example, working in a UN agency, a national NGO, as a journalist, as an official for a bilateral donor, or as an academic analyst?

• How would you justify your choice of concepts and measures to a diplomatic official from, say, ASEAN, the African Union, or the UN?
Take a few minutes

• Jot down a few sentences giving your working definition of the following concepts.
  ▪ “Democracy is...”
  ▪ “Good governance is...”
• How would you measure each of these concepts?
What are the major concepts of democratic governance?
Alternative concepts of democratic governance

- Electoral democracy
  - Przeworski/Cheibub

- Liberal democracy
  - Polity IV/
    Freedom House

- ‘Good’ governance
  - Ibrahim Index/
    World Bank

Minimalist    Maximalist
1. Electoral democracy

- Joseph Schumpeter, *Capitalism, socialism and democracy* (1943)
- Procedural or minimalist definition
- "The democratic method is that institutional arrangement for arriving at political decisions in which individuals acquire the power to decide by means of a competitive struggle for the people's vote"
- *Multiparty elections at regular intervals for head of government and legislative bodies*
- *Will discuss measures in class 8*
- *What are the pros and cons of this notion?*
Minimalist exclusions

- No social or economic aspects are included
- No measure of accountability, responsibility, responsiveness or representation
- No measure of freedom, liberties or human rights
- No measure of participation eg universal franchise
- No reference to civil-military relations
- What are ‘competitive’ elections?
  - Advantages and disadvantages of this approach?
Democratic governance

- Electoral democracy
  - Przeworski/Cheibub
  - Minimalist

- Liberal democracy
  - Polity IV/
    - Freedom House
  - Maximalist

- Good governance
  - Ibrahim Index/
    - World Bank
2. Liberal Democracy

- Modern versions draw upon Robert Dahl 1956. *A Preface to Democratic Theory*
- Two concepts are important:
  - Contestation -- competition and pluralism
  - Mass participation
Dahl's Conceptual Logic

Liberal Democracy

Contestation
- Right to form parties
- Associational autonomy

Freedom of the press

Participation
- Right to vote
- Extent of suffrage
- Fairness of election
Polyarchies

For Dahl, modern democratic states can be understood in practice as ‘polyarchies’

These can be identified by the presence of certain key political institutions:

1) elected officials;
2) free and fair elections;
3) inclusive suffrage;
4) the right to run for office;
5) freedom of expression;
6) alternative information; and
7) associational autonomy
Pros and Cons?

- Broader concept than simply elections
- Expands range of civil liberties and political rights
- Common basis for standard empirical measures (Freedom House and Polity IV)
- Yet focuses only on negative freedoms – seeks to protect citizens from the power of the state
- What of positive freedoms and social equality, cultural and economic rights?
- Will discuss measures in class 8 (FH/Polity IV)
Democratic governance

Electoral democracy
- Przeworski/Cheibub

Liberal democracy
- Polity IV/
  Freedom House

Good governance
- Ibrahim Index/
  World Bank

Minimalist
Maximalist
Concept of Governance

Max Weber: ‘governance by the state’ reflects the capacity of regime authorities to perform functions essential for collective well-being

1. To maintain state sovereignty (through monopoly control over the use of military force and laws within territorial boundaries).

2. To implement public policies

Weberian bureaucratic values of efficiency, effectiveness, impartiality, and accountability
Weberian rational bureaucracy

- **Meritocratic** processes of recruitment, training, and career promotion;
- **Hierarchical and centralized decision-making authority** within large-scale organizational structures;
- **Functional specialization**: officials have clearly specified ranks, duties, obligations, roles and supervisors;
- **Standardized procedures**: actions are guided by transparent formal and impersonal rules, written procedures and legal codes, designed to provide consistent, equal and impartial treatment of all citizens and employees;
- **Firewall between private and public interests**: public officials are full-time salaried career professionals with job security.
'Good' governance indices

- Increasingly commonly used in the last decade
- World Bank Institute: Kaufmann-Kraay
  1. Rule of law
  2. Government effectiveness
  3. Transparency and control of corruption
  4. Voice and accountability
  5. Regulatory quality
  6. Political stability and absence of violence

* Will discuss measures in Class 9
<table>
<thead>
<tr>
<th>DEMOCRACY</th>
<th>RESTRICTED VOICE AND ACCOUNTABILITY</th>
<th>INCLUSIVE VOICE AND ACCOUNTABILITY</th>
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</thead>
<tbody>
<tr>
<td>EXPANDED GOVERNANCE CAPACITY</td>
<td>Bureaucratic autocracies E.g. China</td>
<td>Bureaucratic democracies E.g. Canada</td>
</tr>
<tr>
<td>LIMITED GOVERNANCE CAPACITY</td>
<td>Patrimonial autocracies E.g. Zimbabwe</td>
<td>Patrimonial democracies E.g. Mali</td>
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</table>
Next class

- Note: No class Monday (Labor Day)
- Meet next on Wednesday 8\textsuperscript{th} September
- Analytical framework explaining processes of democratization – see readings