Developing Government and Governance Capacities for Sustainable Development

Joint capacity-development initiative of UNDESA and UNDP in cooperation with the Regional Hub of Civil Service in Astana hosted by the Government of the Republic of Armenia

Armenia Marriott Hotel in Yerevan, Armenia on October 8, 2014

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Why Government & Governance Capacities?

- More complex
- More diverse
- More fragmented
- More interdependent
- More time-consuming
- More transparent
- More blurring
- More decentralized
- More stakeholders/conflicts or dilemmas…

Public Sector *Capacity* was declined:
- Shrinking Role of the State
- More Complex, Wicked Problems
- Lack of Resources
- Increasing Cost of Governance
- Critical citizens & *resistance culture*
- Increasing public expectation……

Doing more/better with less

- “Deep Gap” between new demands and existing capacities \(\rightarrow\) “Lack of Public Capacity” (capacity deficit)

Need “Capacity Building”
- Individual level (*our duty*)
- Organizational Level
- System Level

Daunting Challenges

Capacity Deficit

Limited Capacity
Trust Crisis: Building Trust is Urgent

Building trust in government: playing a billiard game?

INFRA & CAPACITIES (Institutions, Systems, Resources, etc.)
Sustainable Development: Multi-Faceted Concept
### Three Models of Public Administration: How well are we doing and where are we?

<table>
<thead>
<tr>
<th>Citizen-state relationship</th>
<th>(Legal) Public Administration (PA)</th>
<th>(Economic) New Public Management (NPM)</th>
<th>(Sociological) New Public Governance (NPG)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Citizen-state relationship</td>
<td>Obedience</td>
<td>Entitlement</td>
<td>Empowerment</td>
</tr>
<tr>
<td>Accountability of Senior Officials</td>
<td>Politicians</td>
<td>Customers</td>
<td>Citizens &amp; Stakeholders</td>
</tr>
<tr>
<td>Guiding Principles</td>
<td>Compliance with rules</td>
<td>Efficiency &amp; Results</td>
<td>Accountability, Transparency &amp; Participation</td>
</tr>
<tr>
<td>Criteria for Success</td>
<td>Output</td>
<td>Outcome</td>
<td>Process</td>
</tr>
<tr>
<td>Key Attribute</td>
<td>Impartiality</td>
<td>Professionalism</td>
<td>Responsiveness</td>
</tr>
<tr>
<td>Type of Interaction</td>
<td>Coerciveness</td>
<td>Delegation</td>
<td>Collaboration</td>
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</table>
The Image of Good Governance: A Journey of the *Octopus Bike*

New Governance

Interaction of multiple stakeholders
The *Evolving* Concept of Governance

- **Accountable Governance**: from rule-based to performance-based answerability

- **Transparent Governance**: from secrecy to clear, open, complainable, accessible (Freedom of Information Act; information disclosure law), accurate service

- **Participatory Governance**: from information to consultation to full participation
Accountable Governance
(The concept is NOT fixed; it is evolving)

Performance-based Accountability
- Demonstrating evidence of impact
- Developing the spectrum of policies and processes related to accountability
- Answerability (Listening to Citizens)
  - Satisfying: contract and reporting requirements; financial and ethical policies and procedures
- Rule-based Accountability
  - Relying on an honest and ethical character
  - Compliance with rules (Innocence)

Complex
- Excellence
- Transform

Embedded in culture
- Transform

Basic
- Obligation
Participatory Governance

Empower
(citizens’ juries, ballots, delegated decision-making in the hands of the public)

Collaborate
(citizen advisory committees, consensus-building, participatory decision-making)

Involve
(workshops, deliberative polling)

Consult
(public comments, surveys, public meetings)

Inform
(fact sheets, websites)

The concept is NOT Fixed, it is evolving!
Collaborative & Deliberative Governance

A discussion and consideration by a group of persons

Collaborative Governance

1. Commit to collaboration
2. Co-design process
3. Co-create solution
4. Co-deliver actions
5. Solution

Appreciative mindsets
Deliberative processes
Check point

Increasing Trust
Increasing Capacity

Build readiness • Build relationships • Build capability

APPRECIATIVE MINDSETS + DELIBERATIVE PROCESSES = ENDURING SOLUTIONS

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New Civil Service System

Old System

Low expertise due to frequent rotation
Lack of Accountability & Responsiveness
Closed System & Rigidity

Expertise Competition
Openness Fairness
Flexibility
Ethics Integrity
Accountability Transparency

Civil Service Reform Vision

High Competitive edge
Legal Foundations: Asian examples

<table>
<thead>
<tr>
<th>Country</th>
<th>Related Laws</th>
</tr>
</thead>
<tbody>
<tr>
<td>Korea</td>
<td>National Civil Service Act (1949) Local Civil Service Act (1963)</td>
</tr>
<tr>
<td>Japan</td>
<td>National Civil Service Act (1947) Local Civil Service Act (1950)</td>
</tr>
<tr>
<td>China</td>
<td>Ordinance of the Civil Service: 1993 → Promulgated the Civil Servant Law in 2005 (effective in 2006) (Old tradition: the <em>Imperial exam</em> was introduced in 587)</td>
</tr>
<tr>
<td>Vietnam</td>
<td>Ordinance of the Civil Servants and State Employees (1998) → Promulgated the Civil Service Law in 2008 (Effective in 2010)</td>
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</table>

*HRM & HRD Organizations should be professionalized*
Public Administration Education (undergraduate & graduate programs) and Government Training Program (hardware & software)
Modernize HRD programs & utilize international accreditations

Improve the Quality of Education & Training in Public Administration

Creative Public Officials
Public officials who have the competencies to proactively cope with changes in the global environment, such as those in the advent of the smart era

Responsive Public Officials
Public officials who get out of rigid thinking and communicate well with the people, and conceive fresh policy initiatives

Proactive Public Officials
Public officials who internalize the current administration’s philosophy and priorities, overcome inter-ministerial barriers, and formulate and execute policy initiatives based on the perspectives of the people
Behavioral and Mindset Change

Traits
(Knowledge, Skill & Ability)

KSA
(KSA+Value+Attitude)
Competency
Professionalism

Public Interest (Public value, virtue)
Citizen-oriented
Mission-oriented

Innovation, result/performance
Expertise, problem-solving
New vision
Capacity Development

Lead Better

Programs & Policies

(competency Assessment)

Senior Civil Service

as a Linking Pin

Lead Better, Programs & Policies

(Political Accountability)

Top Leadership and Management in Business and Government

CEOs

Board of Directors

Senior Management Team

Best of the Best

Mid- & Lower-Level Employees

Business

Government

Political Appointees

Senior Civil Service

Capacity Development

Best of the Best

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Capacity Development
Performance Management: *New Ideology*?

Performance appraisal (evaluation) system must be well utilized.

**PERFORMANCE STANDARDS**
- Identify relevant standards
- Select indicators
- Set goals and targets
- Communicate expectations

**PERFORMANCE MEASUREMENT**
- Refine indicators and define measures
- Develop data systems
- Collect data

**PERFORMANCE MANAGEMENT SYSTEM**

**REPORTING OF PROGRESS**
- Analyze data
- Feed data back to managers, staff, policy makers, and constituents
- Develop a regular reporting cycle

**QUALITY IMPROVEMENT PROCESS**
- Use data for decisions to improve policies, programs and outcomes
- Manage changes
- Create a learning organization

**Management by Results (MBR)**
- **Performance Unaware**
  - Workers are not focused on where they add the most value and receive inadequate feedback.
- **Performance Aware**
  - Roles and responsibilities are understood and performance expectations are set and reviewed.
- **Performance Focused**
  - Corporate goals are translated into team and individual goals. Managers regularly review and coach performance and organise training. Corporate values are starting to take hold.
- **Strategic Alignment**
  - Individuals have internalised the corporate values. The Performance Management process is tightly linked to strategy execution. Key strategic roles are given specific attention. Recruitment & Succession processes ensure sustainability.

**Innocence**

**Innocence + Hi-performance**

**Excellence**
Poverty Reduction Strategies

- Increasing the supply of basic goods: food & other goods
- Increasing the supply of basic services: health care & education
- Removing constraints on government services: innovating government
- Controlling overpopulation and reversing brain drains
- Increasing personal income: income grants & social welfare
- Increasing personal income: economic freedoms & financial services

Poverty Reduction for Further Development
Korean Experience: Key Success Factors

- Political Leadership & Stability
- Competent & Capable Bureaucracy
- Economic Growth
Economic growth led to growing economic disparity between urban and rural areas → need “rural development” (balanced development and agricultural reform)

*Saemaul Undong* (SMU) was officially announced by President Park Chung-Hee in 1970 in the Mayors/Governors meeting in Busan, Korea

**Focus:** provide basic raw materials (cement, iron bar), improve community infrastructure (road, bridge, house, etc.) & farming tools, enhance community economy livestock (cow, pig, hen, goat, etc.), improving farm-land productivity and income, etc.

Change of mindset: promote “can-do” spirit, diligence, self-help, team spirit, and strong will to fight against poverty

Source: [http://www.saemaul.com/eng](http://www.saemaul.com/eng)
Major Challenges Ahead

1. Fiscal sanity (fiscal soundness)
2. Crisis of competence and capacity
3. Information overload
4. Government without boundaries/borders
5. E-government is only the beginning
6. Green & ethical leadership
7. Expect surprises & catastrophic non-routines (pandemics, disasters, etc.)
Sustainable Public Sector Reform: Share a sense of urgency

Major Trajectories of Public Sector Reform

Civil Service Reform & Anti-Corruption

Decentralization & Local Autonomy
(deconcentration-delegation-devolution)

Corporatization/Privatization
(Separating public service delivery from government)

Financial & Budgetary Reform

Regulatory Reform (Deregulation)

Informatization (Electronic/Mobile Government)

Public Enterprise Reform & Public-Private Partnership
More Reforms in the Public Sector

A journey of *continuous (endless) improvement* of service delivery and management

- Identify opportunities
- Develop reform programs
- Obtain Organizational & public supports

**Implement** changes to achieve results

**Raise awareness of the need to change**

**Improvement in performance**

**Emphasis over time**

*NATO (No Action, Talk Only → Now Action, Talk Over)*

**Success = Strategy + Execution**
Books in English: he has published many books


*Building e-Governance: Challenges and Opportunities for Democracy, Administration and Law* (2005, IIAS & NCA)

*Public Administration and Public Governance in ASEAN Member Countries and Korea* (2009, Daeyoung)

*Civil Service System and Civil Service Reform in ASEAN Member Countries and Korea* (2010, Daeyoung)

*Public Sector Reform in ASEAN Member Countries and Korea* (2011, Daeyoung)


Articles in English and Korean: he has published more than 200 refereed articles in Korea and overseas

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