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From the Editor—Back to School

By the time you read this issue of JPAE, the fall semester will be well under way. We are all laboring under difficult times in the classroom, facing new budgetary pressures and demands upon the curriculum to be more accountable in terms of relevance and demonstrating outcomes. Teaching and curricula do not exist in a vacuum; they must respond to changing times and needs. Change and innovation are vital to making learning fun and relevant.

The stereotypical lackluster professor talks into his or her yellowed, coffee-stained notes from old lectures that are recycled again and again, each year failing to innovate or update classes beyond those first presented as a junior professor. On my first day of teaching, my department chair gave me the best advice I ever received: “Never be afraid to experiment.” By that, he meant that as teachers we need to experiment, take a chance, do something different, all in the name of finding out what does or does not work in our efforts to reach students and stay relevant. I try to live this advice in all my classes, fearing that if I do not, my notes and teaching too will become yellowed and stained and I will turn into the stereotype I saw in some who came before me.

This issue of JPAE brings us all back to school in the sense of urging professors to rethink what we do in the classroom. The world tritely but truly has changed, and the teaching of public affairs must capture that. Challenges such as the events of 9/11, Hurricane Katrina, and the new fiscal crisis of the state all demand that we go back to school and think about what we are trying to teach.

Stephanie Newbold’s “No Time Like the Present: Making Rule of Law and Constitutional Competence the Theoretical and Practical Foundation for Public Administration Graduate Education Curriculum” is an important piece reminding public affairs teachers that the law matters. Specifically, at a time when cultural or other core competencies are being defined and articulated, knowledge about the legal and constitutional foundations of public affairs needs to be emphasized more. The law is the touchstone for all public affairs fields and disciplines, and our curriculum should acknowledge and inculcate it in our students.

Charles Szypszak’s “Teaching Law in Public Affairs Education: Synthesizing Political Theory, Decision Making, and Responsibility” follows up on Newbold’s argument. He too contends that there are foundational legal and political theories at the root of the diverse fields and practices of public affairs. While one does not need to be a lawyer or go to law school to be an effective manager, there is no question that a solid knowledge of the law is essential. Szypszak argues for the creation of a special class on legal and legal affairs as part of the curriculum.

It is almost a cliché now to say that the events of 9/11 changed everything, including the field of public administration. If those events did not change everything, hurricane Katrina did. Terms such as homeland security and emergency management were seldom discussed in public, let alone in public affairs programs. Naim Kapucu’s “Developing Competency-Based Emergency Management
Degree Programs in Public Affairs and Administration” argues for the need to rethink our programs, focusing especially on the emerging role of emergency management programs. Professor Kapucu urges first recognition that emergency management is an emerging and important field within public administration and then commitment to developing ways to define and measure core competencies within this new area.

Budgeting and fiscal management are always important skills, but they are even more so in the fiscal and political climates faced by governments and managers now and in the future. Michael T. Peddle and Kurt Thurmaier discuss the necessary skills in these areas in “Reformulating and Refocusing a Fiscal Administration Curriculum.” They point out that while NASPAA has established core competencies in general for public affairs programs, they have not done so for particular subfields. They draw attention to what they think administrators in general versus fiscal specialists should know, offering recommendations as to how public affairs programs should address these dual needs.

Is there something unique about the skill sets required of individuals who work in the public sector versus those in the private and nonprofit sectors? Dennis R. Young and Mary Clark Grinsfelder, in “Social Entrepreneurship and the Financing of Third Sector Organizations,” confront this question. They look at the concept of entrepreneurship in the nonprofit sector, asking how it contrasts with similar concepts of entrepreneurship located in business and to a lesser degree in government. They contend that those working in the third sector require a broader mix of entrepreneurship skills, necessitating a more inclusive method of teaching these skills if a curriculum is to reflect what is demanded at work.

Public affairs programs in the United States increasingly are drawing upon international students. But these students clearly face culture shock and other issues as they seek to study and live in the United States. Many schools and public affairs programs commit resources to ensuring these international students become socially integrated and make a smooth transition into their programs. But what has been the result, and how does the integration affect student learning? Glenn A. Melnick, Gurvinder Kaur, and Joanna Yu, in “Social Integration and Academic Outcomes: The Case of an International Public Policy and Management Program,” research this important question. Their study of two cohorts of international students offers significant recommendations about what programs can do to enhance the learning experiences of their students both in the classroom and in social and other events.

Universities have missions and values. Often both are forgotten or overlooked once one moves down from 30,000 feet and gets to the level of programs and individual courses. Yet the latter should advance or reflect the former. In “Advancing and Assessing Public Service Values in Professional Programs: The Case of the Hauptmann School’s Master of Public Affairs Program,” Rebekkah Stuteville and Laurie N. DiPadova-Stocks present a terrific case study that looks
at how a university connects its institutional mission and values to what is taught in a public affairs program. While the study is of one school, the authors offer good advice on how other programs can reflect their university’s values in what occurs in their public affairs classrooms.

William C. Adams offers another perspective on JPAE’s yearlong celebration and investigation of the Fulbright experience. His “Teaching Public Management as a Fulbright Scholar in Malaysia” provides personal and professional observations on how the Fulbright affected him. He also offers great how-to observations on securing, planning, and benefiting from the experience.

Johnnie Woodard’s book review of Review of Public Administration: An Introduction, by Marc Holzer and Richard W. Schwester, critically evaluates an important teaching text. He describes this volume as well suited for undergraduate students. The book is topical, covering most major areas of public administration, and faculty looking for a comprehensive text that introduces students to the field are well advised to consider it.

Overall, back to school is a fine metaphor for this issue. Every piece urges reconsideration of what we are doing in public affairs programs as well as offers suggestions for how to do it better. If public affairs programs are to survive for the future, their evolution is imperative. As educators we need to make the case not just in words explaining why we are relevant but also in actions used in training our students. If we fail to do that, we shall become as yellowed as the lecture notes of the stereotypical stodgy professors we all wanted not to emulate.

Transitions

Mark Kruger has been part of the JPAE for years, doing exemplary layout and production work for the journal. After this issue, he moves on as a creative director for Disney. Mark has done great work for us, and we wish him well in his next adventure.

— David Schultz
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No Time Like the Present: Making Rule of Law and Constitutional Competence the Theoretical and Practical Foundation for Public Administration Graduate Education Curriculum

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Abstract
Most Master of Public Administration (MPA) and Master of Public Policy (MPP) programs across the United States focus extensively on policy analysis, management, and leadership, because organizations like the National Association of Schools of Public Affairs and Administration (NASPAA), the American Society for Public Administration (ASPA), and the Association for Public Policy Analysis and Management (APPAM) have determined that these areas comprise the core intellectual and practical dimensions of the MPA and MPP degrees. The omission of required curricula that emphasize the legal and constitutional basis of public administration theory and practice should be of central concern to the public administration education community. Constitutional competence as well as a wide understanding of how the rule of law affects nearly every dimension of public administration is not optional for effective and responsible democratic governance in the 21st century. If MPA/MPP graduates enter the public sector workforce without the knowledge that they can be held personally and professionally liable if they violate citizens’ constitutionally protected rights, public administration educators have not provided them with some of the most important skills necessary for constitutionally competent public sector management.

Establishing the American Constitution and Rule of Law as the Foundation for MPA/MPP Curriculum
In 1982, the United States Supreme Court reiterated in Harlow v. Fitzgerald that public administrators can be held personally liable if they violate citizens’ constitutionally protected rights for which a reasonable person would have
known. Title 42 of the United States Code section 1983, which emphasizes the types of civil action that can occur if public servants deprive citizens of their constitutional and individual rights, states explicitly:

Every person who, under color of any statute, ordinance, regulation, custom, or usage, of any State or Territory or the District of Columbia, subjects, or causes to be subjected, any citizen of the United States or other person within the jurisdiction thereof to the deprivation of any rights, privileges, or immunities secured by the Constitution and laws, shall be liable to the party injured in an action at law, suit in equity, or other proper proceeding for redress, except that in any action brought against a judicial officer for an act or omission taken in such officer's judicial capacity, injunctive relief shall not be granted unless a declaratory decree was violated or declaratory relief was unavailable. For the purposes of this section, any Act of Congress applicable exclusively to the District of Columbia shall be considered to be a statute of the District of Columbia.¹

Of all the lessons public administration faculty teach their MPA/MPP students, this should be a significant and essential priority. We need to instruct our students specifically on how best to avoid being sued for management practices that run counter to the rule of law.

David Rosenbloom (1983) maintains that public administration can be understood from three distinctive lenses: managerial, political, and legal. While the legal approach to public administration is often marginalized when compared to management studies, policy analysis, and tools for advancing leadership skills, it by no means is subordinate to these areas of scholarly interest and practical investigation. It emphasizes procedural due process; substantive rights, like those found in the Bill of Rights and the Fourteenth Amendment; and values associated with equity and fairness (Rosenbloom, 1983, p. 223). Dwight Waldo once argued a noteworthy point that is too often overshadowed by the overwhelming dynamics affecting the public policy process: “Government is a tool to be used in the services of the individual” (1948, p. 71; emphasis added). But civil servants cannot perform this role efficiently, effectively, or responsibly without a clear, concise understanding of the relationship between the appropriate application of the rule of law and the public goods and services provided by the administrative state to its citizens.

this fact, however, the historical, political, and institutional development of the field, led by the collective works of Woodrow Wilson (1887), Frank Goodnow (1900), and Leonard White (1927), primarily emphasized the managerial component of public administration at the expense of all other approaches associated with administrative management. In more contemporary times, the scholarship associated with the New Public Management (NPM) movement has also emphasized economic values at the expense of democratic, constitutional norms (Considine, 2001; Gore, 1993; Light, 1997; Loeffler, 1997; Osborne & Gaebler, 1992; Peter, 1992; Terry, 1998, 2006). John Rohr (1986) has correctly pointed out the noteworthy consequences of these movements and how they have transcended the focus of public administration both theoretically and practically:

The moral force of the founding period explains why it also was so unfortunate for American Public Administration that Woodrow Wilson was unable or unwilling to ground his theory of administration in American constitutional principle and why it is so unwise for his intellectual progeny in the field to call for fundamental constitutional changes to accommodate administrative needs. (pp. 8–9)

Rohr’s argument is significant in a variety of intellectual and institutional contexts, but especially for NASPAA and its continual efforts to maintain the highest curriculum standards for MPA/MPP accreditation and education. Currently, NASPAA, ASPA, and APPAM maintain that policy analysis, management, and leadership represent the foundational educational elements of the MPA degree, but this is insufficient. If the historical, political, intellectual, and institutional legitimacy of the American administrative state is found only within the nation’s constitutional heritage, then the core curriculum of an MPA/MPP education must have a legal and constitutional foundation course as a degree requirement.

Members of the NASPAA leadership team have worked diligently to provide greater clarity and focus on this area of public affairs education. NASPAA’s 2009 Commission on Peer Review and Accreditation addresses some of these concerns. In its preconditions for accreditation review, the Commission devoted important attention to public service values and strongly maintained:

Public service values are important and enduring beliefs, ideals and principles shared by members of a community about what is good and desirable and what is not. They include pursuing the public interest with accountability and transparency; serving professionally with competence, efficiency, and objectivity; acting ethically so as to uphold the public trust; and demonstrating respect, equity, and fairness in dealings with citizens and fellow public servants. (NASPAA, p. 2)
The components of this recommendation hold the potential to improve MPA/MPP curriculum and education because they demonstrate how to connect important democratic constitutional values with public sector management.

Updating the MPA/MPP curriculum to require a legal foundations course supports Rosenbloom and O’Leary’s (1997) argument for how and why we should “retrofit the administrative state into the constitutional scheme.” Without grounding American public administration in constitutional tradition and the rule of law, practitioners would apply policy analysis, management, and leadership tools in completely different contexts and forms because there would be no administrative state, like the one we know of today, to govern or manage the public sector. As I argue in defense of establishing a constitutional school for American public administration, the field needs to pay more attention to how the Constitution and its democratic institutions work to preserve and maintain the republican and democratic values embedded within the founding documents of the American state (Newbold, 2010). Simply put, NASPAA should consider adopting this area of study to its curriculum requirements or at the very least incorporate this recommendation within its accreditation standards, which specifically define the criteria for quality in public service education. It should also take very seriously the core recommendations from the *Task Force on Educating for Excellence in the Master of Public Administration Degree of the American Society for Public Administration*, which suggested three specific ways to improve MPA education (Henry et al., 2009):

1. Reassert and re-clarify the mission and values of an MPA education, which includes training students in how to exercise delegated public authority wisely, effectively, and lawfully;
2. The U.S. Constitution and the 50 state constitutions must be the core of MPA education;
3. Create an evaluative tool that mirrors or complements NASPAA’s accreditation process.

**Core Areas of Emphasis Within the Legal Environment of Public Affairs**

**Rule of Law and Constitutional Competence**

Recommending additions or modifications for MPA/MPP graduate curriculum is relatively easy; implementing possible curriculum changes and modifications is considerably more challenging. This section, therefore, describes the types of legal and constitutional issues MPA/MPP programs should possibly consider engaging as part of this suggested curriculum change.

The core of NASPAA’s educational philosophy should embrace Rosenbloom, Carroll, and Carroll’s position:
American public administration is based on the proposition that government decisions and activities should follow the rule of law. As the authors of the Declaration of Independence, the Constitution, and the *Federalist Papers* repeatedly emphasized, government under law is the basis of liberty. (2004, p. xv)

The opinions of the federal courts, especially the Supreme Court, are illuminating for public administration students because they demonstrate in concrete terms when, where, and how public administrators protected citizens’ constitutional rights and when they did not. The U.S. Supreme Court, furthermore, has made it clear that a lack of knowledge for judicial precedent is not an excuse for public servants to infringe upon citizens’ legally protected rights. In short, it is not possible in the American administrative state to separate the rule of law with the preservation of liberty; one is intrinsically connected with the other. This is precisely why constitutional competence for public managers is essential for public affairs education. If civil servants are unaware, misinformed, oblivious, or even negligent when it comes to their individual and professional responsibilities to protect the rights of citizens, then they face the likelihood of having civil or criminal charges brought against them in a court of law.

*The Constitutional Legitimacy of American Public Administration*

John Rohr’s emphasis on how the American separation of powers regime directly affects the roles and responsibilities of civil servants is particularly insightful:

The courts must be considered serious competitors for the favorable exercise of administrative discretion. This is because the overwhelming majority of claims of individual rights begin and end with administrative agencies. It is not enough for public administrators to obey court orders; they should also take seriously the judicial values that are revealed in court opinions. They should learn to think like judges as well as legislators and executives, because they are all three of these. (1990, p. 83)

As public administration educators, we have the responsibility of instructing our students on how the core governing principles of American republicanism pervade administrative management at all levels of government. The incorporation of “constitutional and legal conversation,” therefore, should occur in most of our MPA/MPP classes and seminars. In discussing how and why organization theory should be taught from a constitutional perspective, for example, I (Newbold, 2008) suggest that public administration curriculum should underscore how the constitutional principles of federalism and separation of powers demonstrate how the Constitution serves as a
reference point for all areas of study in public affairs education, and not simply those that emphasize ethics or the legal environment. (p. 337)

Larry Terry also championed many of Rohr’s ideas on this subject matter and argues that working to conserve American constitutional principles “gives public administrators an active leadership role in governance … the ongoing process of choosing which constitutional master to favor to maintain the constitutional balance of power in support of individual rights is anything but passive” (2003, p. 19). Terry’s argument illuminates one of the great challenges associated with public sector management. If the primary goal of American public administration is to uphold the Constitution and defend the rule of law,

then administrators should use their discretionary power to maintain the constitutional balance of powers in support of individual rights … the public administration, like Congress, president, and courts is an institution of government compatible with the constitutional design of the framers. (Rohr, 1990, p. 80)

This task becomes increasingly challenging, however, when public administrators, and the bureaucracy at large, are constantly being targeted by the president, Congress, and the courts as a justification for many of the inefficiencies and wasteful practices commonly equated with American government (Wamsley, 1990, p. 45).

It is imperative for quality public affairs education that students understand why civil servants answer to each branch of government, as a means to help them develop a distinctive awareness for how to accommodate the bureaucratic realities and expectations of serving three constitutional masters. We must begin to recognize more comprehensively that this is a critical element of administrative management, policy analysis, and leadership as well as for public administration education more broadly defined. One of the most productive ways to accommodate the subordinate status of public administration, in comparison to the three constitutionally created branches of government, is to instruct students

that the Public Administrator acts in a professional manner in the sense of a concern for the development of competence and standards, an orientation towards service, and a set of values that regards the broadest possible definition of the public interest as a real although problematic trust, and, above all, which holds the maintenance of the constitutional order as a fundamental duty. (Wamsley, 1990, p. 47)

If these arguments carry the type of institutional and intellectual legitimacy that many highly respected constitutional and legal scholars in public administration associate with them, then at some point they must become part of the core
curriculum of MPA/MPP education, not only in terms of how civil servants practice public administration but also with regard to how NASPAA defines quality public affairs education.

DIRECTLY CONNECTING CIVIL SERVANTS TO THE AMERICAN CONSTITUTION

The Oath of Office

Civil servants have a direct link to the United States Constitution. Federal civil servants and elected officials take an oath swearing or affirming their allegiance to protect and defend the supreme law of the land. This oath is vital in terms of how it practically connects the individual civil servant to the government he or she serves. Rohr argues,

The oath to uphold the Constitution legitimates some kind of administrative independence; but precisely because it is an oath to uphold the Constitution, it has the potential to tame, channel, and civilize this independence in a way that will make it safe for and supportive of the founding principles of the Republic. (1986, p. 187; emphasis in original)

It cannot be overstated how important it is that we teach public administration students that their professional loyalty as public servants is not to a political party or to a policy issue; rather, it will always remain to the maintenance and preservation of both the United States Constitution and the rule of law.

Terry (2003) worked to advance the practical importance of the oath of office for American civil servants in his work on administrative conservatorship. He asserted with great diligence:

When public administrators take an oath to uphold the Constitution, they are making a moral commitment to the continuance of constitutional processes that encompass particular values, beliefs, and interests. This commitment is expressed in practical terms through their fidelity to duty in the administration of governmental institutions, including the values embodied in the Constitution. (p. 28)

Moral commitments should not be taken lightly. They require the type of continued dedication that few are willing to give of themselves for something larger than themselves, which indeed was one of James Madison’s great themes in Federalist 51.

Lee and Rosenbloom (2005) also point to the precise meaning of the oath of office for public service management. Their analysis is quite helpful in terms of drawing practical lessons for what this type of responsibility will entail once administered:
The oath-taking has at least two specific meanings. For one, it means that they will perform the duties of the office vigorously; for another, it means that they will be responsible, personally or officially, for the constitutional or statutory torts that they might cause within or without the scope of their authorized duties. (p. 234)

We should value the collective scholarship of Rohr, Terry, Lee and Rosenbloom, Cooper, and Cook, among others, who consistently emphasize that the American Constitution serves as the foundation for public administration theory and practice; therefore, how we teach the application of constitutional governance and rule of law is vital to the distinctive value of an MPA/MPP education. This frame of reference is precisely what differentiates schools of public administration and policy from business administration programs regarding how we approach, study, and practice dynamics affecting policy analysis, management, and leadership style.

Public Sector Decision Making in a Separation of Powers Regime

In addition to emphasizing the oath of office, critically examining the use and misuse of administrative discretion is another way public administration curricula should advance the positive relationships between connecting sound constitutional principles and rule of law with competent public sector management techniques. As Lee and Rosenbloom observe:

The reasonably competent public servant has to integrate the ever-changing constitutional law into his or her job performance. This can present a daunting challenge. Books can explain constitutional law. Public service jobs can be learned and mastered … The reasonably competent public servant has to look for creative solutions to these conflicts and tensions. (2005, p. 15)

Part of public administration education, then, is to help students understand what it means to become a “reasonably competent public servant.” We can do this in a number of creative ways, some of which include using applicable case studies when appropriate, incorporating various management scenarios that might arise in the public sector workplace, inviting practitioners into our classrooms to discuss some of their experiences in public sector management, and especially by reading and analyzing relevant Supreme Court cases that purposively illustrate the need for civil servants to use their discretionary judgment in defense of the Constitution and the rule of law.

While the oath of office affirms civil servants’ commitment to maintaining and defending the United States Constitution, the use and misuse of administrative discretion is often guided by a person’s understanding of where the boundaries of the Constitution reside. This is a point Supreme Court Justice Stephen
Breyer (2005) makes regularly, but also one that many public administration scholars have long argued is essential to constitutionally responsible public management. Without being educated in the legal environment of public administration, it becomes increasingly challenging for future civil servants to understand how they will use their discretionary authority in responsibly sound, legal manners.

At the same time, public administrators are constantly struggling with how to balance values of economy, efficiency, and effectiveness with the need to maintain responsibility, responsiveness, and representativeness in their respective agencies and with the public programs they manage (Bowman & Menzel, 1998; T. Cooper, 1998; Newbold, 2010; Rosenbloom et al., 2000; Wamsley, 1990). This task becomes increasingly challenging in a separation of powers regime where each branch of government may require a different course of action from the same civil servant and/or administrative agency. The Framers, of course, were decidedly in favor of this form of representative government and championed it in defense of liberty and for the protection of individual rights. In short, there is a method to the madness, and our job as educators is to instruct public administration students on how and why the madness leads to a specific type of government.

If MPA/MPP programs ground themselves in courses and curricula that highlight the responsibility of civil servants to the Constitution and to the rule of law, when managerial problems arise for future civil servants, they will have a more appropriate skill set to balance efficiency needs with responsible governance, effectiveness with an understanding of how to support equity and equality in terms of representation, and economy with responsiveness to the immediate and future needs of the citizenry, and many other iterations of these possible scenarios. Madison’s observation in Federalist 51 speaks directly to this point and provides important guidance for how to maneuver administratively in a separation of powers regime as a means to ensure that one branch of government does not become more powerful than another. In addition, administrative agencies are one tool each branch relies upon not only to advance its own power but to check the powers of the other two:

This policy of supplying by opposite and rival interests, the defect of better motives, might be traced through the whole system of human affairs, private as well as public. We see it particularly displayed in all the subordinate distributions of power; where the constant aim is to divide and arrange the several offices in such a manner as that each may be a check on the other; that the private interest of every individual, may be a centinel [sic] over the public rights. These inventions of prudence cannot be less requisite in the distribution of the supreme powers of the state. (quoted in Cooke, 1961, p. 349)
Public administration students should be taught how to understand Madison’s point with clarity so that they can not only enhance their historical knowledge of the field but also learn how to adapt more efficiently and effectively to the practical realities of public sector management in a separation of powers regime.

Case in Point: The Treatment of Enemy Combatants in the War on Terror

The George W. Bush administration’s treatment of enemy combatants raises alarming questions regarding how far an administrative agency, like the CIA, can apply its discretionary judgment within the confines of both the rule of law and the boundaries Congress set forth regarding captured suspects in the war on terror. As Greenberg, Dratel, & Grossman highlight in their extensive examination of the enemy combatant papers, they found that the previous administration asserted they had “the power to make decisions without consulting or even informing either Congress or the Courts” (2008, p. ix).

In *Hamdi v. Rumsfeld* (2004), the Supreme Court addressed the constitutional question of whether the president could detain an American citizen (Hamdi), whom the government captured in Afghanistan and subsequently classified as an enemy combatant, and then hold him in custody for an indefinite amount of time—without charging him formally or providing him with a formal hearing—until members of the executive branch decided, if at all, to allow him legal counsel. The Court fiercely maintained that the president does not possess all the power in the War on Terror, because a separation of powers system of government that relies on checks and balances precludes this from happening. As Justice O’Connor wrote for the Court:

We take Hamdi’s objection to be not to the lack of certainty regarding the date on which the conflict will end, but to the substantial prospect of perpetual detention. We recognize that the national security underpinnings of the “war on terror,” although crucially important, are broad and malleable. … Certainly, we agree that indefinite detention for the purpose of interrogation is not authorized. Further, we understand Congress’ grant of authority for the use of “necessary and appropriate force” to include the authority to detain for the duration of the relevant conflict, and our understanding is based on longstanding law-of-war principles.

These are the types of lessons and examples of discretionary judgment that need to be integrated within the required curriculum of public administration graduate education: how public administrators fit within the continual and constant power struggles between the three constitutionally created branches of government is vital to the maintenance, preservation, vitality, and legitimacy of the American administrative state.
The Court’s opinion in *Hamdi* also speaks directly to Rosenbloom’s (2000) argument that administrative agencies are extensions of the legislative branch and that the president and courts must be responsive to that institutional dynamic. Public administration students need a firm knowledge base of how the legislative, executive, and judicial branches work within the confines of American government. They need to understand that civil servants answer to all three branches of government, as previously mentioned. They need to comprehend how Congress, as Rosenbloom argues, works to check the powers of the executive in order to have a more active, concerted role within the administrative state. If public administration students and practitioners lack this specific type of knowledge, they are substantially more likely to use their discretion unwisely or unknowingly make decisions that are contradictory to the rule of law and possibly undermine various precedents the Court has issued, Congress has established, or the president has demanded concerning constitutional governance within the administrative state.

While the *Hamdi* case provides one example of how the Court limited the powers of the executive branch, the judiciary as a whole also works as an institution of governance to guide the legal authority of the administrative state. As Rohr asserts:

> The judiciary can restrain, structure, and refine administrative power when it says the one who decides must hear; but it can uphold the “appropriate independence,” expertise, and integrity of agencies when it asserts that courts must not probe the mental processes of the administrator. (2002, p. 82)

One of the key lessons public administration faculty should be instructing MPA/MPP students is how the courts work to shape the administrative state in its own vision. The way the courts use the power of judicial review when examining how administrative agencies apply constitutional and statutory law, regulations, rules, executive orders, and other forms of decision making demonstrates the need for MPA/MPP programs to focus more extensively on how these dynamics will affect their decision-making capacity as public sector managers. Relying on relevant Supreme Court cases as well as paying close attention to the Court’s current docket provides another important way to educate students on how the judiciary shapes American public administration.

**Conservators of Public Bureaucracies**

Larry Terry (2003) makes a convincing case that public servants are conservators of the nation’s constitutional heritage and democratic institutions. He views the role of public servants as conservators and protectors of the distinctive institutional integrity of administrative agencies. “From an institutional perspective, administrative conservatorship is an active and dynamic process of strengthening and preserving
an institution's special capabilities, its proficiency, and thereby its integrity so that it may perform a desired social function" (2003, p. 25). If public administrators are conservators of their agency's institutional missions, they are actively working to achieve Alexander Hamilton's vision for what would become the administrative state: “[The people's] confidence in and obedience to a government, will commonly be proportioned to the goodness or badness of its administration” (quoted in Cooke, 1961, p. 172). Stated succinctly, it is the role of a constitutionally competent civil servant to conserve the institutional values of the administrative state in a way that advances good administration.

Waldo shared a similar vision for the field. He was particularly cognizant of the need to maintain a distinctive set of institutional priorities for public servants.

We need administrative leadership that is vital, intelligent, creative, and democratic. The administrative expert must be able at once to satisfy the requirements of democratic control and of responsible unified administrative direction. They are to be, as the phrase is, “specialists in generalization,” and in capacities special to democratic leadership. (1948, p. 95)

The idea that quality and competence in administrative leadership will ultimately lead to democratic leadership is central to the argument at hand. This is why the Fourteenth Amendment’s Equal Protection Clause is vital to civil liberties; it ensures that all citizens are treated equally under the law. Legal equality infers, if not inspires, integrity within the political, managerial, and legal dynamics of the administrative state.

Writing on this very subject matter, Patrick Dobel (1999) argues that the first power associated with public office is that “public officials should act in accord with the basic principles or regime values that legitimize the authority of the constitutional government. Officeholders are expected to see all citizens as possessing dignity, basic rights, and equality under the law” (p. 7). Such efforts serve as the foundation for how public administrators work to conserve the nation’s constitutional heritage and protect the legitimacy of its democratic institutions, and since leadership is an important goal that NASPAA associates with MPA/MPP education, we should build on this requirement to connect it with the need to advance democratic principles, the rule of law, and the institutional integrity of public agencies into the public administration curriculum. No one, however, spoke of this requirement or necessity in government better than James Madison in Federalist 68:

It will not be too strong to say, that there will be a constant probability of seeing that station filled by characters pre-eminent for ability and virtue. And this will be thought no inconsiderable recommendation
of the constitution, by those, who are able to estimate the share, which the executive in every government must necessarily have in its good or ill administration. Though we cannot acquiesce in the political heresy of the poet who says—

“For forms of government let fools contest—
That which is best administered is best.”

—yet we may safely pronounce, that the true test of a good government is its aptitude and tendency to produce a good administration. (quoted in Cooke, 1961, p. 461)

Publius’s understanding of the relationship between sound government and effective administration laid the foundation for William Richardson’s (1997) astute observation:

There is reason to conclude that many of the most influential delegates to the Constitutional Convention believed that the character of public administrators was an important part of the foundation upon which they hoped the American regime would securely rest. (p. 35)

Quite simply, good administration in the United States is dependent on the complementary relationship between public and constitutional law and the theory and practice of administrative management.

Embracing a New Intellectual, Pedagogical Responsibility for MPA/MPP Education

As professors of public administration, it is our responsibility to instruct MPA/MPP students on where the boundaries of the United States Constitution lie so that our students can use their discretionary judgment as future public managers to serve the citizenry in constitutionally competent manners (Richardson, 1997; Rosenbloom et al., 2004). As Madison observed in *Federalist 51*: “The interest of the man must be connected to the constitutional rights of the place” (quoted in Cooke, 1961, p. 349), and such a monumental perspective provides the intellectual and constitutional foundation for why MPA/MPP programs must instill within their students’ educational curriculum the value of how the rule of law will affect nearly every aspect of their public management decision making.

Newbold and Terry (2008) defined democratic governance as “the historical, political, institutional, and constitutional foundations that enable government to exist and function within the boundaries established by the United States Constitution” (p. 34). For those of us who agree that the American Constitution is the legitimating force behind the administrative state, the National Association of
Schools of Public Affairs and Administration must at least begin thinking about ways to add a legal environment of public administration course to its curriculum requirements. As Moe and Gilmour (1995) correctly assert:

The distinguishing characteristic of governmental management, contrasted to private management, is that the actions of government officials must have their basis in public law, not in the pecuniary interests of private entrepreneurs and owners or in the fiduciary concerns of corporate managers. (p. 135)

Public administration educators, and likewise public administration students, should think of courses that focus on the rule of law and constitutionalism in the same positive manner that is consistently afforded to subjects that focus on management, policy analysis, and leadership. If not, are we really that different from our peers in the private sector who also focus on these very same educational criteria?

Footnotes
1 Section 1983 applies at the state and local levels, but not to the federal government. The Supreme Court has applied the Harlow standard to violations of Fourth, Fifth, and Eighth Amendment rights by federal officials and employees. See Correctional Services Corp. v. Malesko, 534 U.S. 61 (2001), for a review of the Court’s reasoning regarding federal employees’ liability for constitutional torts.

2 www.publicservicecareers.org/index.asp?pageid=572; PublicServicesCareers.org is supported by NASPAA, ASPA, and APPAM.


4 Publius is the pseudonym used by Alexander Hamilton, James Madison, and John Jay when they wrote The Federalist Papers.

References


No Time Like the Present


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Teaching Law in Public Affairs Education: Synthesizing Political Theory, Decision Making, and Responsibility

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Abstract
Consideration of the law and the legal process is essential for students of public affairs who are preparing for responsibilities as leaders, managers, and policy makers. In their foundational courses, public affairs students are likely to encounter political theories about the constitutional law framework on which administrative authority is based. They may also have an option to study discrete aspects of the law deemed especially relevant to public administration, such as agency rulemaking or basic federal employment law. This article argues that public affairs students should have the opportunity to study law in a course designed to integrate consideration of legal foundations, a range of basic law subjects that public officials commonly encounter, and practical concerns such as complying with public ethics laws, managing litigation, and hiring lawyers. With the benefit of such an integrated approach, students will more clearly see the interrelationship of policy and law, further develop analytical and decision-making skills, and better understand the importance of personal responsibility for promoting the rule of law from which their authority will be derived.

Public administrators are entrusted with the responsibility of carrying out the public’s will as expressed in laws enacted in a democratic process. Their authority is derived from the law, and their decisions reverberate in legislative and judicial proceedings. Those who analyze and articulate public policies must consider whether law is contributing to problems and how it could be used to address them. Effective preparation for these administrative and policy roles should include a learned appreciation for fundamental legal principles, an ability to know and to comply with the law, and a capacity for contributing to legal reform.

There is no good reason to believe that public affairs program directors and faculty members fail to appreciate the value of their students’ study of the law and the legal process. (As used in this article, the term public affairs includes collectively such disciplines as public administration, public management, public policy, and...
public affairs; *public administration* as used herein generally refers to leadership and management in public service.) The standards of the National Association of Schools of Public Affairs and Administration acknowledge the importance of the law by including study of “legal institutions and processes” among the necessary curriculum components (NASPAA, 2008, Standard 4.21). Yet course listings reveal that in most programs law-based courses are accessorial rather than integral to the program focus. The main point of this article is that the inextricable interrelationship between public affairs and the law should be considered in a law-based course that synthesizes law’s role in political theory, decision making, and personal responsibility, to better prepare graduates for dealing with several realities: avoiding unnecessary legal entanglements, more effectively analyzing public policy, making better decisions, and promoting liberty and justice.

**Public Affairs and Law**

Public affairs scholarship has long recognized the interrelationship of the constitutional order and the administrative state’s legitimacy. At the turn of the twentieth century, political scientist and law professor Frank Goodnow, whom some have dubbed the “father of public administration,” argued that administrative law should be seen as filling gaps left open by constitutional law and must follow its plan (Lynn, 2009). Other influential scholars have since similarly stressed the interrelatedness of law and public affairs. Among the most commonly cited are Yong Lee and David Rosenbloom, authors of works about constitutional law and administrative powers (Lee & Rosenbloom, 2005), and John Rohr, who has persistently argued that legitimate agency authority must be compatible with constitutional principles (Rohr, 1986). This tradition was recently invoked by Laurence Lynn, who argued for “restoration” of the rule of law in public affairs scholarship and education. As he said, “The rule of law might well be treated as a foundational concept in every introductory course, in every course on administrative ethics, and in every course on management, policy, and policy making” (Lynn, 2009, p. 810.).

Some scholars have argued that an understanding of law also is important for preparing public officials to meet their professional responsibilities. For example, Rosemary O’Leary gave several reasons why law must be considered together with public policy, including the need for public servants to understand their legal duties, participate in formulating policy, address legal complications, and meet courts’ expectations (Lee & Rosenbloom, 2005; introduction by Rosemary O’Leary). Another author of leading public administration works, Phillip Cooper, noted that the grounding of public administration in law is a “simple truth” and that “the law provides the tools that are used to make the most important, and often the most challenging public decisions” (Cooper, 1997, p. 118).

Notwithstanding a steady stream of scholarship emphasizing the interrelatedness of law and public affairs, the academic programs that prepare future public
administrators often do not take a deliberate approach to integrating law broadly within the curriculum. Years ago, in 1995, Moe and Gilmour argued that public administration programs tended to emphasize entrepreneurial models common in the study of business rather than affirm law as the field’s proper foundation (Moe & Gilmour, 1995). Similarly, Rosenbloom observed that “the legal approach to public administration has historically been eclipsed by the other approaches, especially the managerial” (Rosenbloom, 2005, p. 12). Hartmus recently added that public administrators confront constitutional law questions throughout their careers, but only a few graduate programs even offer courses in constitutional law (Hartmus, 2009).

The limited extent to which law is considered in foundational courses in the public affairs curriculum is reflected in commonly used textbooks. A mainstream public administration introductory text for many years, written by Pfiffner and Presthus (1967), did not include law in its central focus. It did have a chapter on the legal context of public administration, including law as the foundation of government; a chapter on administrative law; and passing mention of federal employment law within a chapter on personnel administration. Widely used texts now in circulation have even less coverage of these fundamentals (Cooper, 2007; Milakovich & Gordon, 2009; Shafritz, Russell, & Borick, 2009). The most commonly used law-oriented textbooks for public administration emphasize constitutional law or the administrative process (Barry & Whitcomb, 2005; Cooper, 2005; Cooper & Newland, 1997; Rosenbloom, 2003; Rosenbloom, Kravchuk, & Clerkin, 2008). Public administration article collections similarly now at most include limited material on constitutional law and the foundations of administrative power, if any (Beckett & Koenig, 2005; Shafritz, Hyde & Parkes, 2005; Stillman, 2009). Likewise, a mainstream introductory public policy text includes only basic material on government structure, federalism, and separation of powers (Kraft & Furlong, 2009).

Most students preparing for positions in public administration will complete their programs without taking a course devoted to the study of law. A review of the Internet-posted course listings for the 25 master of public affairs programs that U.S. News & World Report ranks highest indicates that few courses are offered to address the subject. Of the 25 programs, only four include a law-based course in their core requirements. Nine other programs offer electives in constitutional or administrative law. Eight of the 12 programs that do not offer a constitutional or administrative law course list a course that addresses a specialized area of the law, such as environmental or labor law. The remaining four list no law-based courses in their curriculum.

Beyond limited exposure to foundational constitutional or administrative law theory, opportunities for study of the law and the legal process in public affairs programs are scarce. About a third of the schools list one or more specialized law courses such as health law, labor law, or international human rights; but
these courses appear not to be regularly offered, if at all. Of course public affairs students will learn something about the law as they study traditional core subjects such as budgeting, program analysis, and organizational behavior, particularly in public administration programs that tend to emphasize these subjects more than public policy programs, which tend to focus on economics and policy analysis (Hur & Hackbart, 2009). For example, as students learn about budgeting, they should learn about legal constraints on public revenue sources. Also, human resources and employment are areas in which teachers in various fields have integrated some aspect of the law into their coverage, including in public administration courses. Materials for such subjects may include such things as the basics of equal opportunity laws and employment discrimination, free speech rights, whistle-blower protections, and contractual and policy limitations on employment at will (Pynes, 2009). But texts used for such courses are more likely to be devoted to organizational structure and behavior and management techniques and make only passing reference to legal constraints (Berman, Bowman, West, & Van Wart, 2009; Hayes, Kearney, & Coggburn, 2008; Klingner, Nalbandian, & Llorens, 2009).

Programs might allow students to take law courses at affiliated schools, but the course menus reflect that in most programs, law is not considered to be an integral part of the students’ learning. Public affairs courses rarely stray beyond the constitutional framework of administrative law. Consequently, most graduates will have limited, piecemeal knowledge about aspects of the law that public administrators encounter in practice, including many areas of substantive law, the legal process, and the hiring and management of lawyers. Their knowledge of those subjects is more likely to be anecdotal.

Law and Policy

Given the stream of persuasive scholarship emphasizing the importance of law to public affairs, the lean opportunities to study law are more likely due to program prioritization rather than to a determination that public affairs students need not concern themselves with legal issues. Prioritization is a natural result of different emphases within schools that aim to prepare their graduates for practice in particular fields (Wangerin, 1997). The law schools that prepare students for the legal profession also tend to treat law as if it were not interrelated with public policy. Law schools tend to focus on analyzing rules and exceptions to them, not on consideration of what those rules should be or how they can best be shaped to further public policies. As expressed in this quote from lawyer and scholar Thomas Reed Arnold, “If you can think about something that is related to something else without thinking about what it is attached to, then you have what is called a legal mind” (Arnold, 1930–1931, p. 58). Law scholar Lon L. Fuller points out that as a consequence, “the legal mind generally exhausts itself in thinking about law and is content to leave unexamined the thing to which
law is being related and from which it is being distinguished” (Fuller, 1964, p. 4). The focus of law school education has been criticized for disserving society because “the intellectual core of the ideology is the distinction between law and policy” (Kennedy, 1982, p. 596). Law schools also have been criticized for their parochial failure to see the benefits of interdisciplinary study (Wangerin, 1997) and for not preparing lawyers who work within government to contribute to policy analysis (Schuck, 1998). Yet policy makers at the national, state, and local level often have law backgrounds, usually without the benefit of having studied policy and program formulation or organization and management concepts.

Law schools and schools of public affairs have different purposes, and their tendencies to emphasize either law or policy as separate fields are to some extent practical and unavoidable. But appropriate differences in orientation and emphasis should not be permitted to cause an unduly singular focus. With respect to schools of public affairs, their graduates will be contributing to the formulation of policies that involve the law and legal process. Their students’ learning therefore should include not only an understanding of that interrelationship but also basic substantive knowledge about issues and processes likely to be encountered. The following are a few examples of the many contemporary important public policy questions that obviously are intertwined with law:

- What electronic exchanges among public officials should be subject to the laws requiring that the public have access to official meetings of deliberative bodies? Citizens’ access to information about their government is essential to a rule of law. Courts and legislatures are only beginning to consider how open meeting laws should apply to modern technologies such as exchanges among officials through e-mail, blogs, and electronic social networks.
- Should owners be able to recover damages for loss of future business profits when a portion of the real estate on which the business is operated is taken by eminent domain? Most courts have held that such damages are not constitutionally required, but many owners think they should be, and governments can statutorily authorize such compensation. Eminent domain is among the most controversial government powers, but few government officials understand its legal contours.
- What remedies should be available to the lowest qualified bidder on a public contract when the bidding authority improperly awards the contract to another party? Most courts do not recognize a breach of contract claim for bidders, but some courts see such a rule as unfair and as encouraging bad conduct by public authorities, especially as governments increasingly become involved in activities formerly seen as private commercial concerns.
• Are whistle-blower protections an effective means of protecting public employees and the public? They are intended to protect employees’ rights, but many consider them ineffective because the laws require employees who complain of prohibited employer conduct to follow an internal process before seeking judicial relief.

• Should we adhere to the traditional “American Rule” requiring parties to bear their own attorneys’ fees in most litigation? Policy makers have made few exceptions to the rule, which many observers say discourages meritorious litigation and gives an unfair advantage to the parties with the most resources.

• What should be the extent of sovereign immunity from liability for harms caused by government actions? Remedies can be statutorily provided, as with tort claims acts and civil rights statutes; this issue has important implications for the governments and officials that can be held liable, for those who seek remedies, and for taxpayers.

• When should prosecutors be obliged to disclose known evidence about criminal defendants? The courts have held that certain disclosures are constitutionally required, but the obligation’s full scope is defined by statutes, rules, and discretionary policy decisions.

Thoughtful consideration of these important questions requires basic knowledge about the laws governing public meetings, eminent domain, public contracts, employment law, civil litigation, torts and sovereign immunity, and criminal procedure. These and a myriad of other issues are important to the rule of law and to good government. Those who make decisions and policy, initiate and respond to legislative proposals, and manage litigation in behalf of the public will best serve the public interest if they are well informed about the law and legal process.

Sound Management Decisions

When students’ exposure to law is only a brief introduction to foundational theory, they may not come to realize that their own day-to-day decisions often will involve legal considerations and have legal implications. When their exposure to substantive law subjects is piecemeal, they may not come to realize that decisions often simultaneously implicate many aspects of the law—constitutional, statutory, and regulatory—as well as practical considerations involving the legal process.

Graduates assuming responsible positions in public service should at least be familiar with the basics of the legal subjects that they are most likely to encounter in practice. Roberts recently argued “that courses on the legal environment of public administration should be restructured to include subjects such as the management of government ethics, public contracts, and public employment law” (Roberts, 2009, p. 361). As Roberts explained, public administrators will be governed by public ethics laws, and they may be called upon to negotiate
contracts and manage a bidding process as well as make hiring, disciplinary, and termination decisions. This article expands on his recommendation and argues that programs should cover an even broader range of substantive law content as well as practical issues involving the legal system.

Public administrators are likely to become involved at some time in a significant way with such common law-dependent activities as evaluating public demands for access to government records and proceedings, interpreting environmental regulations and restrictive covenants, responding to demands for compensation for property damage or personal injury, and directing law enforcement and prosecutorial efforts. Accordingly, the education of students preparing for public administration positions should include the basics of topics such as public records and open meeting laws, property interests and real estate transactions, personal injury claims and sovereign immunity, and criminal law and procedure. Becoming familiar with the basics of these subjects better enables graduates to identify legal issues and avoid the mistakes that tend to arise out of ignorance about the law.

Consider, for example, the obvious advantage of knowing about basic property law when dealing with the typical questions that arise when government regulates property use. An excellent context for analyzing these questions is the U.S. Supreme Court case of *Nollan v. California Coastal Commission* (1987), which arose when a regulatory authority required an owner replacing a beachfront bungalow with a larger home to dedicate an easement for the public to access a public beach. The Court analyzed the legitimacy of the government’s interest in protecting public beach access but held that the uncompensated dedication requirement was unconstitutional because it was not sufficiently connected to that governmental interest. Regulators, land owners, and courts regularly struggle with this constitutional mandate when they consider land use regulations and how to address the burden of development proposals. Many disputes could be avoided if the legal constraints were better understood.

Knowledge of the law also is valuable for avoiding complications that can arise involving the manner in which legal authority is exercised. An illustrative case is *Frankel v. Board of County Commissioners* (2002), in which the Wyoming Supreme Court reviewed a local land use board’s refusal to issue a driveway grading permit for a new home to be built on a scenic ridge line. The court noted that administrative bodies have broad discretion to make decisions within the scope of their legislatively delegated authority, but the court could not find in the record the facts on which the board relied or the rationale for its decision. Consequently, the court remanded the case to the board. The case can be used to teach future public administrators that they should consider not only the merits of a proposal but also the procedural details of deliberations and decision making. Such a learned appreciation can help avoid unnecessary delays and expenses for the parties, the government and its representatives, and the public.
Students preparing for public administration also benefit from gaining a better understanding of the realities of the legal system. By considering the dynamics of litigation and alternative dispute resolution, they can recognize that civil litigation often results from petty disputes or stubbornness and usually leaves everyone mostly dissatisfied. Bad decisions are often made based on false impressions about the litigation process and what it can really accomplish. Students can learn to better appreciate when getting a lawyer’s expert advice or advocacy is the reasonable thing to do, such as when making important decisions that involve complex legal issues or when involved in litigation. An understanding of the dynamics of the legal profession can also better prepare future public administrators for managing lawyer relationships and legal services budgets. Also, future public administrators benefit from being able to better inform themselves about the law. Students who have experience with basic legal research learn how to find useful information but, just as important, they learn about how complex the law can be and not to be too confident about what seems to be a simple answer. This capacity and awareness can be very helpful in avoiding problems.

**Analytical Skills**

Studying law in the broad sense for which this article argues also contributes to better decision making in another way: as another opportunity to develop decision-making skills. Basic competence in legal reasoning need not be the sole province of those who graduate from law schools. Law study provides rich opportunities to develop analytical skills that are important not only for complying with legal requirements and avoiding disputes but also for general decision-making ability.

Research shows that teaching for “deep” learning, as opposed to “surface” learning, requires challenges to existing mental models and long-standing beliefs (Bain, 2004; Moore, 2007; Paul & Elder, 2004). As Bain concluded in his study of effective college teachers, “In the learning literature and in the thinking of the best teachers, questions play an essential role in the process of learning and modifying mental models” (Bain, 2004, pp. 27–28). A question-and-answer process requires students to reflect on their own responses and those of their fellow students, enabling students to assess their own critical thinking. Legal reasoning is such a question-and-answer process. It involves drawing comparisons between situations, considering how rules apply to examples, and analyzing what exceptions should be made to the general rules (Levi, 1962).

Reasoning by example and exception aids in the development of multilayered analytical skills. It is the essence of the teaching strategy that instructional psychologists acknowledge develops basic problem-solving strategies: using a “variety of probing strategies to get students to make predictions, formulate general rules, identify relevant factors, and specify cases that meet general conditions” (Collins & Stevens, 1982, p. 94). One method for this kind of
learning is the Socratic method of teaching commonly employed in law study, in which the teacher and students engage in a progressive question-and-answer exchange. Identifying and questioning assumptions that underlie conclusions, testing conclusions with different facts, and exploring the boundaries of a proposed rule are analytical approaches that enhance effective decision making.

Law study encourages consideration of various points of view, which can counter the natural tendency to embrace information that confirms already-held positions and to ignore or discredit contrary information. Psychologists observe this human tendency to look for information to confirm biases rather than to test them (Oswald & Grosjean, 2004). For lawyers, consideration of alternative views means more effective advocacy; for public administrators, it means more inclusive consideration of various interests and more thoughtfully developed policy positions. By studying judicial opinions, students can see the difference between uncritically clinging to a position and arriving at a point of view after considering competing perspectives. The issues that are considered in reported cases tend to be complex and controversial and involve unclear rules or interpretive disagreement. They also tend to arise from engaging stories. Consider, for example, the opportunities for learning presented by the landmark U.S. Supreme Court case of *Griswold v. Connecticut* (1965). The defendants in that case were medical professionals who were fined for violating a Connecticut statute by giving contraceptive advice. The Court struck down the law because it violated what justices said was a constitutional right of privacy. Students’ typical first reaction is that the dissenters who would have upheld the law were clinging to Victorian pretentions. But all the justices agreed that the prohibition was bad law; they disagreed about the extent to which the Court was constitutionally empowered to override a state legislature on a matter not explicitly protected in the Bill of Rights. By reading the opinions, students can see that the question of what a legislature or court may or may not do is more complicated than merely applying personal moral sensibilities. Considering the justices’ differing approaches to answering these difficult questions engages students in the kind of rigorous analysis that enables them to see the underlying complexity of other issues.

**Personal Responsibility**

Public administrators must know about the formal laws that express expectations about rights and responsibilities. But they must not simply equate formal law with a civil and just society. They should understand that laws and actions taken with legal sanction may be counterproductive if the rules or its administrators are not perceived as legitimate. Public administrators make the decisions that underlie this legitimacy and bear personal responsibility for it. They animate the institutions on which a rule of law rests: a representative legislative process, equal protection of the laws, and a fair and transparent court system. A rule of law cannot survive if those in responsible government positions do not honor the law.
and strive to reform it for the public good. Studying the foundations of formal law, and its limitations for governing human behavior, enables graduates to successfully fulfill their essential role on which effective government and individual liberties depend.

Consider, for example, the question of the limits of the criminal law. An excellent case for this purpose is *Papachristou v. City of Jacksonville* (1972), in which the U.S. Supreme Court struck down vagrancy laws that were employed to round up individuals whom the police perceived to be worthy of suspicion. The case raises fundamental questions about the balance between individual liberties and public safety and the potential that formal law can be a tool for oppression as well as a means to achieve a legitimate policy objective. If public affairs programs do not encourage students to consider these important questions about formal law and its limitations, they may be contributing to the kind of separation of power and responsibility that fuels cynicism or, worse, sanctions self-serving behavior.

**Syllabus for a Law for Public Administration Course**

The public affairs curriculum should purposefully consider law as scholars have argued: in the theoretical sense as a source of administrative power. It should also be considered in the managerial sense as a set of tools for dealing with legal issues, as some have argued. Still, something is left out if law is considered in only these senses. Law should be more comprehensively understood as a synthesis of political science, management, and responsibility. This synthesis can be revealed during a course that addresses the several aspects of the law for public administration, including the nature of a rule of law, substantive law commonly encountered by public officials, and the practicalities of making decisions involving the law, lawyers, and legal process.

To grasp the nature of the government and the role of those who serve in it, public affairs students must have a basic understanding of constitutional law topics such as sources of formal law and its limits; the nature of constitutional interpretation, due process, and equal protection; and freedoms of speech, religion, and the press. Additionally, public administrators will work in or with administrative bodies and should be familiar with basic administrative law and procedure, including the limits on delegation of legislative power to agencies and the basics of rulemaking, adjudicative procedure, and judicial review. These are core subjects that form the framework for public administration and that inform future public policy analysts about the role of law in achieving policy objectives.

Graduates assuming responsible positions in public service also should at least be familiar with the basics of the legal subjects that they are most likely to encounter in practice. Accordingly, public affairs students’ education should include the basics of topics such as public records and open meeting laws, property interests and real estate transactions, personal injury claims and sovereign
immunity, and criminal law and procedure. Becoming familiar with these subjects better enables graduates to identify legal issues and avoid the mistakes that tend to arise out of ignorance about the law.

A course on law for public administration should also consider legal practice issues likely to arise in their work. By learning about the realities of litigation, students may be more inclined to avoid it and to manage it responsibly when it is unavoidable. By learning about the nature of lawyer practices and representation, students are better able to identify appropriate attorneys, define the goals of the representation, and watch out for potential problems. In a law-based course, students also can be introduced to the basics of legal research for self-education. An ability to do basic legal research and an appreciation for its limitations are among the most useful lessons for future public administrators and policy analysts because they can better inform themselves about the nature of the legal authority that governs decisions.

Studying a range of legal subjects should not be seen as an unwelcome burden upon the students. Effective law study is not plodding through lists of rules and case names. When the subject matter is tailored to students’ experiences and anticipated responsibilities, its relevance and potential usefulness can easily be seen. Legal issues and cases for discussion can be selected not only for their relevance but also for their capacity to engage.

A course offering the coverage this article argues for has been taught successfully in the Master of Public Administration program at the School of Government of the University of North Carolina at Chapel Hill. The choice of subjects reflects what public administrators are most likely to encounter in the real world, based on the author’s experience advising public officials on legal matters and law reforms for more than 20 years. The following is the topical syllabus, which devotes approximately 3 hours of class time to the topics shown as first-level headings here:

- **What Is Law?**
  - Rules and their legitimacy
  - “Rule of law” and its limits
  - Sources of formal law

- **Educating Yourself About the Law**
  - Nature of legal research
  - Being current
  - Researching legislation, cases, and regulations
  - Secondary reference material

- **Constitutional Principles**
  - Judicial review
  - Constitutional interpretive approaches
• **Due Process, Equal Protection, and Civil Rights**
  – Substantive and procedural due process
  – Equal protection
  – Principal civil rights statutes and remedies for violations

• **Freedom of Speech, Religion, and Information**
  – Free speech, immunity, and libel
  – Establishment Clause
  – Free religious expression
  – Freedom of the press
  – Public records and open meetings

• **Administrative Law and Procedure**
  – Development of administrative law
  – Administrative Procedure Act
  – Limits of delegated authority
  – Rulemaking
  – Administrative adjudication
  – Investigation
  – Judicial Review

• **Property**
  – Property rights, land use control, and eminent domain
  – Real estate interests and recording systems
  – Intellectual property

• **Contracts and Companies**
  – Contract formation, breach, and termination
  – Drafting considerations
  – Contract remedies
  – Government contract requirements and bidding
  – Forms of business and nonprofit organizations

• **Employment**
  – Impermissible employment decisions
  – Position classification
  – Pay, benefits, and work conditions
  – Sexual harassment
  – Public employment unions

• **Torts**
  – Elements of a negligence action
– Joint responsibility
– Strict liability
– Intentional harms
– Liability for employees and agents
– Sovereign immunity and tort claims acts
– Insurance
– Statutes of limitations

- Criminal Law and Procedure
  – Criminal offenses and defenses
  – Warrants and exceptions
  – Prosecutor discretion and disclosure obligations
  – Rights to witnesses, lawyers, juries, and speedy trial
  – Proof beyond a reasonable doubt
  – Double jeopardy
  – Punishment and sentencing guidelines
  – Habeas corpus

- Public Ethics Law
  – Public authority and criminal law
  – Federal and state ethics laws

- Civil Litigation and Alternative Dispute Resolution
  – Remedies
  – Litigation process
  – Collecting judgment
  – Mediation and arbitration

- Managing the Lawyer Relationship
  – Choosing and compensating a lawyer
  – Client-lawyer relationship including confidentiality
  – Lawyer obligations to the court and others
  – Lawyer misconduct and liability

Appropriate course material includes readings on the basics of each subject. Students also benefit from reading and discussing excerpts from a couple of important cases for most of the topics. Appropriate cases include a few landmark U.S. Supreme Court opinions of special interest to public administration, including each of the cases mentioned earlier in this article: *Griswold* is effective for considering constitutional interpretive approaches; *Nollan* for property rights; *Frankel* for administrative procedure; and *Papachristou* for defining criminal offenses. To give a fuller sense of the law, the material should include other opinions
from federal or state courts that illustrate how judges interpret constitutions and statutes and resolve disputes when the law is unclear.

An introduction to legal research is of limited use without experience. One approach to the topic that has proved successful involves three projects. The first requires students to find about a dozen specific sources in response to prompts, which introduces students firsthand to the major resources and familiarizes them with some of the immediate challenges peculiar to legal research. The second assignment involves supplying students with a statute and a couple of relevant cases and requires them to describe how this authority sheds light on a policy question. This exercise gives students a sense of the challenges involved with reading and summarizing legal authority, and the difference between doing so fairly and oversimplifying. The third assignment requires researching and describing the law governing an assigned problem likely to arise in public administration. The overall sequence builds some confidence in doing basic legal research and provides a better sense of its inherent limitations, especially for someone without the depth of a law school education and experience.

Coverage of a range of law topics in a single semester is necessarily broad and not deep, but students can see connections and themes about how legal rights and obligations are defined and reconciled and how the law evolves in response to changing conditions and social norms. Obviously, students in such a course will spend only a few hours considering subjects that law students will spend semesters studying as they prepare for the legal profession. But the impossibility of learning a subject in depth does not warrant learning nothing about it at all. Nor should being introduced to foundational law school subjects lead reasonable students to believe that they fully understand any legal subject or are qualified to give legal advice to others. A law-based course is an opportunity to explicitly consider the limitations of self-study and the appropriateness of a lawyer’s involvement. By way of analogy, we can teach ourselves only a little of what medical students spend years learning about anatomy, disease, and nutrition; but what we can learn about these subjects should better equip us to live a healthy lifestyle, know when to seek medical care, and communicate effectively with caregivers. It should not lead us to conclude that we no longer need professional medical care or that we can diagnose or treat others.

The course described here has been taught annually at the UNC School of Government since 2006. Fifty-three students have completed it, and the average overall course evaluation score they assigned was 4.94 on a 5 scale, where 5 indicates “excellent” and 4 “good.” Students consistently report a better appreciation of the complexities of law and the value of a legal education and experience. Anonymous evaluation comments include “taught us what we needed to know as public administrators,” “a great general background about public administration and the law,” “it was the best class I have taken in the MPA program,” “this course was more meaningful than some of our required courses,” and “make this a
required course.” Students also regularly comment in class and on course evaluations that they are better able to identify legal issues and identify the extent and nature of appropriate legal advice.

Conclusion

Public affairs programs can better prepare their graduates for dealing with their future responsibilities by giving them more than a piecemeal or superficial knowledge of the law and the legal process. The curriculum should introduce students to fundamental legal principles and the basics of the legal subjects they are likely to encounter. It should also engage students in critical thinking about legal rights and obligations and explore personal responsibility for promoting a rule of law. When seen as a synthesis of political theory, decision making, and personal responsibility, a law-based course can not only contribute significantly to students’ knowledge about their field but also better equip them for making sound decisions with real-world consequences for themselves and the public.

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*Frankel v. Board of County Commissioners*, 39 P.3d 420 (Wyo. 2002).


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Developing Competency-Based Emergency Management Degree Programs in Public Affairs and Administration

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Abstract
Over the last decade, the world has experienced catastrophic disasters both natural and human-made. In 2001, terrorist attacks occurred on September 11th. Between 2004 and 2005, there were both the devastation of the tsunami in Sri Lanka and Hurricane Katrina in New Orleans. Perhaps not coincidentally, emergency management programs and course offerings have also increased significantly during the last several years. The nature of jobs of emergency managers have also become more complex with a strong orientation toward collaboration and networking. The core competencies required to effectively carry out their jobs are manifold and multifaceted. This article shares the experiences of developing an emergency management program within a public administration program that is based on core competencies identified in the emergency management literature.

The goal of the article is to document the experiences of designing and developing an academic emergency management program within a public administration program. In addition, the article addresses the supporting goal of identifying specific core competencies for emergency managers derived from an extensive literature review as the foundation of the academic program design and development process.

The Emergency Management field and the scope of its functions have significantly evolved and changed since the beginning of the 20th century (Bullock et al., 2006; Kapucu & Van Wart, 2006; Perry & Lindell, 2007; Rubin, 2007) and demand different competencies and skills for emergency managers today. Over the years, the effectiveness of emergency management tools, techniques, and strategies has waned, and to address this issue more up-to-date emergency management skills are required (Waugh & Tierney, 2007). Some of the obvious reasons for these changes are the overall increased scope and diverse nature of the disasters; heightened expectations and demands by societies and communities to serve them during catastrophic events; advancements and innovations in technology.
Demanding more sophistication; and the impact of globalization demanding networking with different societies across the world. Although this range can be extended, the basic factors mentioned earlier have contributed significantly to raise the performance standards of emergency management systems to ensure the effective response to natural or human-made disasters (Kapucu & Van Wart, 2006). This article sets out to highlight and address the core competencies of emergency managers that need to be developed and are required to tackle complex and dynamic environments of disasters.

Themes and issues pertaining to emergency management and homeland security have gained significant attention in the field of public administration over the last three decades. A major impact is that significant research has been published on emergency management and homeland security issues in mainstream public administration journals (Caruson & MacManus, 2008; Kapucu, 2006; Kapucu & Van Wart, 2006; McGuire & Silvia, 2010). In fact, the journal Public Administration Review (PAR) has devoted three issues to emergency and disaster management (in 1985 and 2002 on the implications of September 11 terrorist attacks; in 2007 on administrative failure in the wake of Hurricane Katrina). The most recent research has primarily focused on the 9/11 attacks and government response pertaining to this national tragedy, on the creation of the Department of Homeland Security (DHS), and on the poor response to Hurricane Katrina.

Figure 1.
Emergency Management College Programs by Year

Source. FEMA EMI (2009).
Apart from acclaimed scholarly research, several academic programs (master’s, certificates, minors, and concentrations) have been developed in schools or departments of public affairs and administration (see Figure 1).

According to FEMA EMI (2009), there are 173 college emergency management programs: 59 certificates, minors, diplomas, tracks, and foci; 26 bachelor degrees; 42 masters-level programs; and 7 doctoral-level programs. Also, 32 emergency management programs are under investigation or development. This article shares our experiences in developing emergency management and homeland security programs within the Department of Public Administration at the University of Central Florida (UCF) to meet the demand of developing and acquiring core competencies that emergency managers will need to serve successfully in their jobs.

**Emergency and Crisis Management Context**

Emergency and crisis incidents are characterized by several factors that may hinder or prevent effective response for managing vexing problems faced in such a situation. First, during crisis emergency managers face circumstances that create uncertainty in roles and responsibilities, contextual knowledge, or situational awareness. Second, emergency managers are hard-pressed for time and are required to respond and react quickly due to the severity and importance of the emergency situation. The devastating consequences of disasters and crises such as casualties, damage to people and property, and so forth make it imperative to prepare for, respond to, and recover from disasters in the most effective and timely manner. Finally, emergency situations require fast and frugal decision making by emergency managers (Gigerenzer & Todd, 1999), which means that critical decisions are made under time pressure and uncertainty. In other words, “in crisis circumstances, the disparities between supply and demand of public resources are much bigger, the situation remains unclear and volatile, and the time to think, consult, and gain acceptance for decisions is highly restricted” (Boin, t’Hart, Stern, & Sundelius, 2005, p. 11). In addition to the traditional characteristics of disasters pertaining usually to natural calamities, it is likewise important for emergency management leaders and organizations to understand that because of the scope and severity of emergency situations experienced today involving added grave human-made threats, the rules of the game have changed. The four phases of emergency management (mitigation, preparedness, response, and recovery) are now a matter of multi-actor involvement and collaborative efforts (Comfort, 1999; Kapucu, 2009a; Kapucu, 2009b; Waugh & Streib, 2006). The emergency situations faced by respective and responsible agencies are to be addressed—and indeed, are only addressed, by nonhierarchical and collaborative structures (Klijn & Koppenjan, 2007).

Today, collaboration and networking in managing emergencies is a theme present in all government and nongovernment entities. The National Response
Plan (NRP, December 2004; the NRP was replaced by the National Response Framework [NRF] in January 2008) established a comprehensive, all-hazards approach to enhance the ability to manage domestic incidents. This plan strongly emphasized the coordination and integration of capabilities at all levels of government, private organizations, nonprofit organizations, and individual citizens. NRP acknowledged the important role of local governments because it called for handling all incidents at the lowest possible organizational and jurisdictional level. To support this area, a variety of coordination mechanisms are needed that link local responses to federal capabilities for intelligence gathering and incidence response. For example, Joint Field Offices (JFO) are temporary, federal facilities that are established locally to provide a central point for federal, state, local, and tribal representatives with responsibility for incident support and coordination. The NRP focused on several key concepts, all of which require sound attention to management: threat assessment strategies, incident reporting, vertical and horizontal communication and information sharing, training and exercising, mitigation strategies, organizing and planning to mobilize resources at different levels, response and recovery activities, and safety of personnel and the population.

Components of the NRF, which replaced the NRP, include assessment strategies, incident reporting, vertical and horizontal communication and information sharing, training and simulation, mitigation strategies, organization and planning to mobilize resources at different levels, response and recovery activities, and securing the safety of personnel and the population. NRF, similar to NRP, establishes a comprehensive, all-hazards approach to enhance the ability to manage disasters domestically. It emphasizes the engagement of all levels of government, private organizations, nonprofit organizations, and individual citizens in response to human-made and natural disasters.

Many reports, including those prepared by the National Academy of Public Administration (e.g., National Agenda for the Support of Intergovernmental Research 2006, and Advancing the Management of Homeland Security 2004), discuss management challenges, performance of response operations, and intergovernmental relations. Two frequently mentioned problems are interoperability and performance management. Problems in interoperability concern the need to create common languages, develop interoperable technical infrastructure, clarify expected outcomes, and lead by example. Performance measurement is an approach to defining outcomes and measuring progress toward achieving outcomes. Several reports discuss the need to establish national standards. Regardless of whether these standards exist or whether local entities formulate their own, performance is an essential management tool to guarantee objectives are being met. Beyond this, public administration can be of use through surveys and inventories of needs and capabilities that may exist. Thus, national-level plans exhibit and emphasize some important performance standards, capabilities, skills, and competencies that are required for managing emergencies in a collaborative setting.
Emergency Management Core Competencies

Before listing the core competencies needed in the emergency management field, it is imperative to understand the level and scope of analysis as well as the theoretical issues surrounding this task. Barbera et al. (2005) describe competency as a “specific capability required for effective performance, within the context of a job’s responsibilities, which achieves the objectives of the organization” (p. 3). While this definition touches upon the term specific capability, it primarily addresses the basic knowledge, skills, and capabilities required to perform standard operations in a relatively reactive way. The proactive tenet is missing from the picture and is required to distinguish an eminent organization from its less effective counterparts (Perry & Lindell, 2007; Sylves, 2008; Waugh, 2000).

This issue is particularly important and critical when considering such a volatile and sensitive field as emergency management. Dealing with the protection of life and property is a fairly complex and sensitive process compared to other public-related issues, since every action should be taken at the right time, with thorough situational analysis, and with more responsibility and concern. Quite naturally and inevitably, such an approach requires emergency managers to acquire and build certain competencies that would not only enable but also empower them (Willett, 2008) to perform their job in a more effective, efficient, and proactive way. Based on the review of relevant literature, four levels of analysis were identified to establish a theoretical framework for core emergency management competencies: depth, scope, nature, and type (see Figure 2).

Figure 2.
Levels of Analysis of Emergency Management Competencies

<table>
<thead>
<tr>
<th>Depth</th>
<th>Scope</th>
<th>Nature</th>
<th>Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>Awareness</td>
<td>Scientific/academic knowledgebase</td>
<td>Technical competencies</td>
<td>Knowledge</td>
</tr>
<tr>
<td>Operations</td>
<td>Understanding of psychological, social, and political realities</td>
<td>Critical understanding</td>
<td>Skills</td>
</tr>
<tr>
<td>Expertise</td>
<td>Applications</td>
<td>Integrated solutions</td>
<td>Tools</td>
</tr>
</tbody>
</table>
The first level addresses the depth of the competency and is analyzed in terms of three additional levels (Barbera et al., 2005): awareness, operations, and expertise. The awareness level covers the understanding of knowledge, skills, and abilities encompassed by a specific competency. This level would not be sufficient to adequately perform all functions within an organizational system. The operations level addresses knowledge, skills, and the necessary abilities to effectively perform assigned tasks, functions, and activities within an organizational system, including technicality of the process. Finally, the expert level envisions operations-level proficiency as well as knowledge, skills, and abilities required for judgmental and analytical processes and complex decision-making situations.

The second level of analysis is the scope of the competencies. Woodbury (2005) identifies three related factors for this level. At a smaller scope, an emergency manager’s competency may be limited only to a scientific/academic knowledge base. At a larger scope, an emergency manager may have an additional understanding of psychological, social, and political environment and realities when performing his or her job. At the largest scope, being the implementation and application stage, emergency managers combine their competencies pertaining to the two scopes discussed and deliver their services. This last level envisions a deliberate synthesis of the first two levels and is the effective application of the four emergency management phases.

The third level of analysis discusses the nature of the competencies. According to Etkin (2006), there are four factors for this level: core competencies, critical understanding, integrated solutions, and critical research. The first factor, core competencies, is required for technicians and practitioners to perform emergency management functions. The second factor encompasses the critical understanding required by managers to address a problem at hand in a holistic perspective and to direct lower-level functions in that regard. The third factor entails the creation of integrated solutions by senior policy makers who address problems at a systemic level and come up with fundamental changes and implementations throughout the emergency management field. The fourth factor addresses critical research by relevant emergency management scholars who present research and studies to establish a better and sound base for implementation in light of past experiences.

The fourth and final level of analysis addresses the type of the competencies and can be classified into two forms: knowledge and skills (Brown, 2004). This is a more straightforward and rigid approach to classifying the types of competencies. Specifically, this classification helps to simplify the theoretical framework and carry out systems-level analysis. While the former suggests what emergency managers should know, the latter summarizes what they should do to perform their duties, functions, and responsibilities effectively.

Based on the literature review, the following core competencies in emergency management were identified:
• **Clarity of Role:** Responsibilities and duties are easy and manageable as long as they are clearly defined for respective emergency operation actors to perform their jobs effectively (especially for routine disasters, not for catastrophic ones). This is especially vital in managing emergencies, since uncertain conditions might prevail and relevant and reliable knowledge may be absent (American Society for Industrial Security, 2002; CDC, 2002; Kapucu & Van Wart, 2006; Willett, 2008).

• **Effective Organizational Management:** Emergency management should start from effective internal organizational management, including resource and personnel management, budgeting, strategic planning, and so on (Johnson, n.d.; Kapucu & Van Wart, 2008; Spiewak, 2005).

• **Technology and Research-Integrated Applications:** Emergency management should benefit from relevant technology education/training in order to address natural and human-made disasters effectively. This approach should be strengthened by contemporary developments and improvements in related sciences (Blanchard, 2001; Hite, 2003). Graduates of an emergency management academic program do not necessarily need to be experts in applying every technological tool used in managing emergencies, but they should have a solid understanding of how technology can be applied in all phases of comprehensive emergency management.

• **Interdisciplinary Approach to Problem Solving:** Emergency management should not be limited to emergency management operations only; it should also address social, political, legal, policy, and ethical issues related to mitigation, preparedness, response, and recovery. Likewise, the field should focus on and incorporate issues relating to other disciplines and entities when needed, ranging from health to public security, for example (Blanchard, 2005; Hite, 2003; Kiltz, 2009). Coordination of emergency management and homeland security with our complex medical and public health organizations is an essential element of comprehensive emergency management and highlights the interdisciplinary approach to problem solving.

• **Effective Leadership Through Communication and Analytical Skills:** Effective Emergency management is possible only through effective leaders who know the power of communication in affecting and convincing others. Effective leaders also possess strong judgmental and analytical skills needed to make quality decisions in times of uncertainty, time pressure, and limited information (American Society for Industrial Security, 2002; Blanchard, 2005; CDC, 2002; Johnson, n.d.; Kapucu, 2006; Kapucu & Van Wart, 2008; Marks, 2005; Van Wart & Kapucu, 2010; Witt, 2002).
• **Effective Networking, Coordination, Partnerships, and Collaboration:** Due to the nature and scope of disasters faced by communities today, it is impossible for local governments to respond effectively to disasters alone, and it is imperative to collaborate in terms of such parameters as information, resources, personnel, and the like. Such collaboration also necessitates coordination and interoperability skills to successfully perform assigned tasks and functions (American Society for Industrial Security, 2002; Blanchard, 2001; Kapucu, 2006; Van Wart & Kapucu, 2010).

• **Environment and Community-Sensitive Practices:** Effective leadership is inevitably possible only through thorough analysis and consideration of political, social, economic, and environmental factors and their incorporation into the general picture of the emergency situation faced. Any practice or solution that does not take into account community values and perspectives would ultimately be inefficient or ineffective (Blanchard, 2005; Kapucu, 2008).

• **All-Hazards, Holistic, and Proactive Approach to Emergency Situations:** Emergency management needs an all-hazards and holistic approach that not only addresses issues in an environment-sensitive way but also tries to solve problems progressively during all phases of the emergency management cycle. This implies a proactive rather than reactive approach supported by general-picture analyses (Blanchard, 2001; Hite, 2003; Kiltz, 2009; Waugh & Tierney, 2007). Graduates of emergency management programs should have a solid understanding of risk management and its component parts such as hazards and vulnerability analysis, risk assessment, risk communication, risk-based decision making, and monitoring and measurement. The National Infrastructure Protection Plan (NIPP) lays out a risk management framework and supporting definitions that are widely applicable at all levels of government and across all sectors.

• **Knowledge, Training, and Experience-Based Critical Decision Making:** Since Emergency management is an applied and practical field, ample resources should be invested in developing knowledge and theory-based training, along with empowering the inexperienced and employing the experienced personnel so that emergency operations do not suffer from lack of experience while conducting and managing emergency management operations (Blanchard, 2001; Johnson, n.d.; Marks, 2005; Kiltz, 2009).

• **Horizontal, Egalitarian, and Trustful Relationships:** This factor is especially important when networking and collaborative efforts are considered. A collaborative initiative would be ineffective and most probably fail when inter-actor trust and acceptance are lacking as
well as when imbalanced power relationships exist between actors. This is true for both intra- and interorganizational relationships in emergency management (FEMA Working Group, 2007; Kapucu, 2006; Kapucu, Augustin, & Garayev, 2009).

- **Rule-Oriented Though Flexible Structures, Operations, and Thinking:** Any emergency operation should follow a certain chain of command and rules described by organizational norms and culture, though such practice should be easily avoided when and if needed for achieving a higher goal for the organization or public. Flexible structures and innovative thinking do not imply disorderly actions, but instead imply alternative approaches to solve problems (American Society for Industrial Security, 2002; CDC, 2002; Willett, 2008).

**Development of Emergency Management Graduate Certificate Program at UCF**

This section describes the program development at UCF based on the competencies identified in the emergency management literature. Table 1 provides a core competencies and course offering table for the graduate certificate program, while Table 2 provides core competencies and course offerings in the emergency management undergraduate minor program.

The minor in Emergency Management and Homeland Security was approved during the 2002–2003 academic year. Since 2003, undergraduate students have taken the courses as electives, and some have even completed the minor. From the spring 2006 semester to the fall 2007 semester, the active student population for this program grew by 53%, demonstrating student interest in the subject. As of fall 2009 the program had 55 active students in the minor and 48 students in the graduate certificate program. Appendix A provides a description of the Graduate Certificate in Emergency Management and Homeland Security program, and Appendix B provides the description of the Minor in Emergency Management and Homeland Security.

In 2008, the Department of Public Administration at UCF developed a new Graduate Certificate in Emergency Management and Homeland Security that is patterned after the existing Undergraduate Minor in Emergency Management and Homeland Security. This certificate aims to prepare graduate students in the administration of emergency management and homeland security programs. Before the program was approved, a survey of current and potential students was conducted in a two-step process to gauge the interest in an Emergency Management and Homeland Security Graduate Certificate. First, 32 prospective graduate students attending the 2007 Graduate Fair were surveyed to determine potential interest in the program. Second, all current students taking courses from the Public Administration Department (approximately 180) were also surveyed, out of which 49 students responded (total of 81 respondents to the
Table 1.

<table>
<thead>
<tr>
<th>Elective Courses</th>
<th>Management and Policy Emphasis</th>
<th>Planning Emphasis</th>
<th>Core Courses</th>
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<tbody>
<tr>
<td></td>
<td>Clarity of Role</td>
<td>Effective Leadership</td>
<td>Effective Organizational Management</td>
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<td></td>
<td>Technology and Research</td>
<td>Interdisciplinary Approach to Problem Solution</td>
<td>Technology and Research Integrated Applications</td>
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<td></td>
<td>Interdisciplinary Approach</td>
<td>Effective Networking, Coordination, Partnership, and Collaboration</td>
<td>Effective Networking, Coordination, Partnership, and Collaboration</td>
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<td></td>
<td>to Problem Solution</td>
<td>All-Hazards, Holistic, and Proactive Approach to Emergency Situations</td>
<td>All-Hazards, Holistic, and Proactive Approach to Emergency Situations</td>
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<td>Environment and Community-Sensitive Practices</td>
<td>Environment and Community-Sensitive Practices</td>
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<td>Knowledge, Training, and Experience-Based Critical Decision-Making</td>
<td>Knowledge, Training, and Experience-Based Critical Decision-Making</td>
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<td>Horizontal, Egalitarian, and Trustful Relationships</td>
<td>Horizontal, Egalitarian, and Trustful Relationships</td>
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<td>Rule-Oriented Through Flexible Structures, Operations, and Thinking</td>
<td>Rule-Oriented Through Flexible Structures, Operations, and Thinking</td>
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<tr>
<td>PAD 6071</td>
<td>Seminar in Weapons of Mass Destruction</td>
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<td>INR 6136</td>
<td>Seminar in American Security Policy</td>
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<tr>
<td>HSA 5198</td>
<td>Health Care Decision Sciences and Knowledge Management</td>
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<td>CCJ 6021</td>
<td>Criminal Justice Responses to Terrorism</td>
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<tr>
<td>PAD 6387</td>
<td>Transportation Policy</td>
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<td>PAD 6037</td>
<td>Public Organizations Management</td>
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<tr>
<td>PAD 5142</td>
<td>Nonprofit Organization</td>
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<tr>
<td>CGN 6655</td>
<td>Regional Planning, Design, and Development</td>
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<td>PUR 6403</td>
<td>Crisis Public Relations</td>
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<tr>
<td>PAD 6353</td>
<td>Environmental Program Management Research</td>
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<td>PAD 5356</td>
<td>Managing Community and Economic Development</td>
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<td>PAD 5338</td>
<td>Land Use and Planning Law</td>
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<td>PAD 5336</td>
<td>Urban Design</td>
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<td>PAD 6825</td>
<td>Cross-Sector Governance</td>
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<td>PAD 6710</td>
<td>Information Systems for Public Managers and Planners</td>
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<td>PAD 6397</td>
<td>Managing Emergencies and Crises</td>
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<tr>
<td>PAD 6399</td>
<td>Foundations of Emergency Management and Homeland Security</td>
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exploratory survey). There was an overwhelmingly positive response in support of the proposed certificate: 66% indicated they would take the certificate alone, and 63% indicated they would take the courses as part of their degree program. Respondents were also asked to indicate a preference for the proposed courses, and the responses in addition to student comments can be found in Appendix C.

The rationale for the development of the Graduate Certificate in Emergency Management and Homeland Security is to meet a growing need in our community to learn about new collaborative responses to emergencies. Emergency Management and Homeland Security is currently one of the fastest-growing occupational
fields in the United States (FEMA EMI, 2009). The Bureau of Labor Statistics projects a 28% increase between 2002 and 2012 and strong industry growth in the government, private, and nonprofit sector (Berman, 2004; Horrigan, 2004; Tossi, 2004). In addition, in the special issue of the Annals of the American Academy of Political and Social Science, “Shelter from the Storm: Repairing the National Emergency Management System after Hurricane Katrina” (Waugh, 2006), the author identified Florida's emergency management system as a model for the entire United States. The program has received the support of the faculty of the Department of Public Administration and the Public Administration Advisory Board. The Public Administration Advisory Board includes several emergency managers from the Central Florida region. The advisory board members are also regular guest speakers in emergency management classes. Each class visits an emergency operation center during the term to observe emergency management in a natural setting and communicate with experienced emergency managers. The Center for Public and Nonprofit Management serves as the research arm of the Department of Public Administration. The center's advisory council also includes several emergency managers and nonprofit executives. The center guides our research initiatives, which also benefits our emergency management programs at UCF. Moreover, due to the interdisciplinary nature of emergency management and homeland security issues, the program invites guest speakers from different disciplines with emergency management background (i.e., Engineering, Institute for Simulation and Training, Political Science, Global Perspectives, and Education), service-learning activities are coordinated with emergency management and homeland security agencies in the region, and interdisciplinary research is linked to the classroom environment for the certificate program.

The program has been developed based on our experience with the Minor in Emergency Management and Homeland Security in the Department of Public Administration (see Appendix B). The Graduate Certificate in Emergency Management and Homeland Security is designed to provide an interdisciplinary graduate education for persons engaged in or seeking professional careers in emergency management and homeland security and focusing on managing security threats or crises, natural or human-made threats, and managing disasters or emergencies through coordination of the public, private, and nonprofit sectors. In our curriculum, in addition to covering recent national trends in policy and practice in the field of emergency management and homeland security, the program focuses on the national, state, and local emergency management and public safety systems (international organizations with disaster management missions and some international emergency management cases are also included in courses). FEMA’s Professional Development Series (PDS) is built into the curriculum as well. Students who complete FEMA’s PDS receive a certificate of completion for their participation in the series.
The Graduate Certificate Program in Emergency Management and Homeland Security is affiliated with the Master of Public Administration (MPA) program, the Master of Nonprofit Management (MNM), and supported by the Department of Public Administration. The Department of Public Administration currently has 12 full-time faculty members who specialize in the major aspects of public and nonprofit management and policy analysis. The MPA program consists of 42 graduate hours and is accredited by the National Association of Schools of Public Affairs and Administration. The MNM consists of 33 credit hours and is taught online primarily by full-time faculty members. The department faculty has written numerous articles, individually and with students, addressing emergency management and homeland security issues. The Graduate Certificate Program in Emergency Management and Homeland Security is administered by the Graduate Program of Public Administration and follows the policies, rules, and procedures related to the graduate program at the Department of Public Administration. The most complete, up-to-date program requirements and brief course descriptions for the graduate certificate program can be found in UCF graduate catalog at www.graduate.ucf.edu. The most current information about the minor can be found in the official UCF undergraduate catalog at www.catalog.sdes.ucf.edu/current/minors.

Thus, with an up-to-date curriculum and diverse modes of learning opportunities in the program, it is fair to emphasize that several areas of research, training, and technical assistance in the Central Florida region can be served through the emergency management and homeland security programs at the Department of Public Administration in College of Health and Public Affairs, UCF.

Conclusion

Emergency management has become a field requiring multiple competencies. In very general terms, emergency management competencies can be summarized in two categories: intra-organizational and interorganizational. While the former includes important issues as organizational management, technological competency, and comprehensive and supported decision making, the latter incorporates issues relating to leadership, networking, coordination, and collaboration. Competency in both areas requires careful analysis and identification of strong interdependence of actors as well as the need for innovative organizational strategies to create solutions to contemporary problems in the emergency management field.

Emergency management programs should be developed based on the core competencies identified by the literature and practitioners. Also, it is important to provide interdisciplinary perspectives based on the interdisciplinary and complex nature of emergency management and homeland security issues. I am hopeful that the article will provide a starting point for other academic institutions that are in the process of, or plan to embark on the design and development of emergency management academic programs within the broad domain of public administration.
Footnote
1 It is essential to utilize a holistic approach that would not be complicated by details of specific cases. A researcher should strive to get a snapshot of general characteristics of specific cases and try to develop an understanding that would be applicable to all other types of emergency situations. The balance between details vs. common themes of the cases should be well established.

Acknowledgments
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References


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Developing Competency-Based Degree Programs


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Appendix A

UCF Graduate Certificate in Emergency Management and Homeland Security

The Department of Public Administration offers a Graduate Certificate in Emergency Management and Homeland Security, which consists of 18 semester hours at the graduate level, including four required core courses and two electives; one from a planning tract and one from a management/policy tract. This certificate will prepare graduate students in the administration of emergency management and homeland security programs.

Curriculum

Credit Hour Requirements (Total 18 credit hours)

Core Courses (12 credit hours)

- PAD 6399 Foundations of Emergency Management and Homeland Security 3 hrs
- PAD 6397 Managing Emergencies and Crises 3 hrs
- PAD 6716 Information Systems for Public Managers and Planners 3 hrs
- PAD 6825 Cross-Sectoral Governance 3 hrs

Restricted Electives (6 credit hours)

- Select one (1) course from Group 1
- Select one (1) course from Group 2

Group 1—Planning Emphasis

- PAD 5336 Urban Design 3 hrs
- PAD 5338 Land Use and Planning Law 3 hrs
- PAD 5356 Managing Community and Economic Development 3 hrs
- PAD 6353 Environmental Program Management Research 3 hrs
- PUR 6403 Crisis Public Relations 3 hrs
- CGN 6655 Regional Planning, Design, and Development 3 hrs

Group 2—Management and Policy Emphasis

- PAD 5142 Nonprofit Organizations 3 hrs
- PAD 6037 Public Organizations Management 3 hrs
- PAD 6387 Transportation Policy 3 hrs
- CCJ 6021 Criminal Justice Responses to Terrorism 3 hrs
- HSA 5198 Health Care Decision Sciences and Knowledge Mgmt 3 hrs
- INR 6136 Seminar in American Security Policy 3 hrs
- INR 6071 Seminar in Weapons of Mass Destruction 3 hrs
The minor in emergency management and homeland security provides students with an opportunity to comprehensively study the disaster management cycle, including emergency planning, mitigation, response, and recovery. In an age of dense population, increased terrorism, unpredictable weather, and high public expectations of risk reduction and public leadership, this is an exciting area of study. Students who complete a minor in emergency management and homeland security gain additional insight and knowledge that will help them find positions in various federal, state, and local government or nonprofit organizations. Some of these may include the Environmental Protection Agency, Occupational Health and Safety Administration, the Orange County Emergency Management Division, the Federal Emergency Management Agency, the Department of Homeland Security, and state and local homeland security agencies.

Curriculum

Credit Hour Requirements (Total 18 credit hours)

Core Courses (15 credit hours)
- PAD 4110 Intergovernmental Administration 3 hrs
- PAD 4392 Emergency Management and Homeland Security 3 hrs
- PAD 4712 Information Systems for Public Managers and Planners 3 hrs
- PAD 4395 Disaster Response and Recovery 3 hrs
- PAD 4390 Hazard Mitigation and Preparedness 3 hrs

Restricted Electives (select one) (3 credit hours)
- DSC 4012 Conflict and Terrorism 3 hrs
- DSC 4013 Homeland Security and Criminal Justice 3 hrs
- HSA 4938 Health Issues in Disasters 3 hrs

The University of Central Florida is accredited by the Commission on Colleges of the Southern Association of Colleges and Schools to award degrees at the associate, baccalaureate, master’s, and doctoral levels.
**Appendix C**

*Survey on Graduate Certificate in Emergency Management and Homeland Security*

The Department of Public Administration is planning to offer a Graduate Certificate in Emergency Management and Homeland Security in a future semester. Your response to these questions will be used in developing and offering this certificate.

The certificate, if offered, will be **18 credit hours** (6 courses), with four core courses and two electives chosen from a list. The courses can be taken:

- Independently,
- as a graduate certificate in Emergency Management and Homeland Security, or
- as electives for the Master of Public Administration or Master of Nonprofit Management degrees.

<table>
<thead>
<tr>
<th>If offered, how interested are you in taking the following courses either independently or as part of a certificate or degree program?</th>
<th>Very Interested</th>
<th>Somewhat Interested</th>
<th>Neutral</th>
<th>Not very Interested</th>
<th>Not Interested</th>
</tr>
</thead>
<tbody>
<tr>
<td>N = 81</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td><strong>Foundations of Emergency Management and Homeland Security (EM/HS)</strong>&lt;br&gt;Course topics:&lt;br&gt;• Contemporary EM/HS issues&lt;br&gt;• Historical development of EM/HS&lt;br&gt;• Applicable national policies and institutions</td>
<td>38%</td>
<td>38%</td>
<td>11%</td>
<td>5%</td>
<td>6%</td>
</tr>
<tr>
<td><strong>Managing Emergencies and Crises</strong>&lt;br&gt;Course topics:&lt;br&gt;• Crisis management, disaster recovery, and continuity of operational issues.&lt;br&gt;• Evolution of U.S. disaster policy management&lt;br&gt;• Disaster types and common myths</td>
<td>54%</td>
<td>32%</td>
<td>4%</td>
<td>2%</td>
<td>4%</td>
</tr>
<tr>
<td><strong>Information Systems for Public Managers and Planners</strong>&lt;br&gt;Course topics:&lt;br&gt;• Introduction to state-of-the-art hardware and software&lt;br&gt;• Computer employment and systems concepts.&lt;br&gt;• Public sector management and operations</td>
<td>43%</td>
<td>30%</td>
<td>12%</td>
<td>9%</td>
<td>2%</td>
</tr>
<tr>
<td><strong>Cross-Sector Governance</strong>&lt;br&gt;Course topics:&lt;br&gt;• Structure and dynamics of cross-sector governance&lt;br&gt;• Management of intergovernmental relations&lt;br&gt;• Historical and theoretical perspectives</td>
<td>36%</td>
<td>40%</td>
<td>11%</td>
<td>7%</td>
<td>4%</td>
</tr>
</tbody>
</table>
Would you take these courses? (N = 73 responses)
(Note: Total = 110% because some students selected more than one course venue.)
As an independent course 14%; As part of a certificate program 52%; and As part of a degree program 41%.

Student Comments
(Comments are from fall 2007 active students)

Student comment: I think these are needed classes at this time. They should have a lot of emphasis on mitigation and teaching techniques as this is the most common activity, though not as flashy as response activities.

Student comment: This would be interesting to take as electives for the MPA.

Student comment: I would be very interested in a Graduate Certificate in Emergency Management and Homeland Security. Thank you for considering expanding the UCF MPA program!

Student comment: Interesting issues

Student comment: Excellent idea—I would be interested.

Student comment: I would be willing and happy to take it as any, but a certificate program would be a very good asset to those trying to enter the nonprofit world especially those international ones with emergency response abilities. The History of EM and HS would be essential to understanding but the Managing Emergencies and Crises class would be my choice—I would sign up now if I could.

Student comment: I would be interested in learning more about the Masters Degree program from the University of Central Florida.

Student comment: Attached is the Homeland Security/Emergency Management survey. It is too bad the program is beginning now as I have already completed most of my course electives. As a twenty-three year fire protection member, this course of instruction would definitely add a nice touch to my course track.

Student comment: I think this would be an amazing program! It’s definitely long overdue. The only concern I would have would be the potential redundancy with the EM minor currently offered. I’m sure that this would be a more in-depth look at EM, and in that case I’m all for it. I’d sign up right now if it was currently offered! I think offering it as a certificate program, that could be used toward the MPA would be the best opportunity. I know of many people in the field who would love to “start off” their graduate studies with a certificate program. Please keep me in mind if you have any further questions. I am a recent PA graduate (with EM minor) and work in the Fire Service and may be able to answer any questions you may have.
Reformulating and Refocusing a Fiscal Administration Curriculum

Michael T. Peddle
Kurt Thurmaier
Northern Illinois University

Abstract

Public administration programs are familiar and comfortable with the self-study and analysis that comes with the NASPAA accreditation process. NASPAA's curriculum standards historically have focused on core competencies for all Master of Public Administration (MPA) students. There is a noticeable lack of guidance regarding what competencies are desirable for various specializations. No guidelines are available to benchmark the curriculum for the public budgeting and financial management specialization. This essay explicitly addresses the differences in the core skill sets necessary for public managers in general versus those necessary for managers who will be finance specialists, and offers a methodology to reformulate and refocus their fiscal administration core and specialty curricula.

Public administration programs are familiar and comfortable with the self-study and analysis that comes with the NASPAA accreditation process and produces much useful information that can be used for continual quality improvement. Over the years, the public administration program at Northern Illinois University has made many changes in its program in response to new technologies, an increasingly global economy and environment, and pedagogical innovations among other things. Some changes have been motivated by observations or findings made during the accreditation process. Other changes have occurred as a result of feedback from alumni and employers as to skill sets, aptitudes, and approaches needed in the workplace but not prominent in the MPA curriculum.

NASPAA's curriculum standards historically have focused on core competencies for all MPA students. The accreditation guidelines explicitly state that there need not be, and probably should not be, a single course to meet each curriculum competency. The paramount concern is that MPA students achieve these competencies
from their overall engagement with the totality of an MPA curriculum. The new NASPAA accreditation standards reinforce this principle.

But what about curriculum decisions for specializations within an MPA degree? While all MPA students are expected to gain core competencies, what skills and competencies are appropriate for a specialized curriculum? There is a noticeable lack of guidance regarding what competencies are desirable for various specializations. Only two specializations—local government management and nonprofit management—have curricular guidelines developed in national-level conversations by programs with these specializations.

Northern Illinois University has been able to use the local government guidelines as benchmarks for its local government management specialization curriculum. No such guidelines are available to benchmark the curriculum for its public budgeting and financial management specialization. Indeed, among the top 15 ranked programs in public budgeting and financial management, there is a notable range of curricular approaches.

Northern Illinois University faced the issue of an appropriate curriculum in its budgeting and financial management curriculum due to the convergence of several events:

• Hiring of several new faculty with expertise and experience in budgeting and finance
• Return of a senior budgeting/finance faculty member to full-time status in public administration after more than 15 years on joint appointment with an applied research unit
• Addition of several budgeting and finance professionals to the MPA advisory board
• Appointment of a new director who made curriculum improvement a priority

The key issue that rose to the surface in a series of informal discussions among this new constellation of actors was a desire to identify those competencies that all managers should have in public budgeting and financial management as well as the specialized knowledge necessary for those seeking a career in “public finance.”

While several recent articles provide valuable insights into assessing an MPA curriculum, assessing curricular outcomes, and the content of public financial management curricula (see, e.g., Durant, 1997; Fitzpatrick & Miller-Stevens, 2009; Moody & Marlowe, 2009; Newcomer & Allen, 2008; and Peters, 2009), none of these contributions explicitly addresses the differences in the core skill sets necessary for public managers in general versus those necessary for managers who will be finance specialists. Moody and Marlowe (2009) do a very good job of explaining topical coverage in public financial management curricula and note
differences in the coverage between programs that have a finance specialization and those that do not. However, Moody and Marlowe do not differentiate between the topical coverage in core and specialization courses, and they note specifically that they do not provide an explanation for differences in topical coverage between programs with and without a finance specialization. Our paper helps to fill this gap in the literature.

This essay describes the process and outcomes of the comprehensive reassessment of the Northern Illinois University curriculum. The essay first describes the budgeting and financial management coursework in place before the curriculum exercise, and then discusses the methodology used to conduct the reassessment. An important piece of the reassessment was a survey of practitioners and employers regarding key budgeting and finance competencies and skills. The middle section of the essay discusses the survey results and the programmatic response. The essay concludes with suggestions for how other MPA programs can use this methodology to reformulate and refocus their fiscal administration core and specialty curricula, and a suggestion for a broader national-level discussion of specialization competencies.

In the Beginning

Before the curricular reformulation, Northern Illinois University had one core course in public budgeting and financial management and offered a fiscal administration specialization within its MPA program. The specialization included an additional required intermediate course in public sector revenue management and a required course in accounting for government and nonprofit organizations that was numbered and administered as a public administration course but taught by an accountancy department faculty member. An elective advanced course in the politics of public budgeting was also offered. While aimed at PhD students, the advanced course also enrolled MPA students.

As part of the ongoing feedback loop in the MPA program, each student meets twice a year for academic advising, students complete an annual survey, and graduating students complete exit surveys and interviews. In addition, the program coordinator makes regular visits to internship sites, the faculty meet two or three times each year with a board of advisers, and they regularly consult with alumni regarding faculty searches and the program’s strategic plan. Faculty also maintain ongoing and active contact with alumni and other professionals through consulting, active membership in professional associations, and attendance at continuing professional education seminars. Ongoing questions of interest in discussions with the students and alumni include

- What MPA coursework is particularly relevant in the workplace?
- What coursework has fallen behind administrative practices?
- What relevant skill sets do our MPAs lack when they enter the profession?
Reformulating a Fiscal Administration Curriculum

- What relevant skill sets do our MPAs possess that give them an advantage as they enter the profession?
- What skill sets are most relevant for public administration generalists, and which skill sets should be the focus of specialized education and training?

The final question in this list proved to be especially important in our curricular reformulation.

The program’s ongoing feedback loop—refreshed with new actors in the advisory board, new faculty, and new students—indicated it was time for a comprehensive reexamination of the fiscal administration curriculum. For example, we heard from several of our constituencies that our MPA graduates were notably weak in understanding financial accounting, a topic not covered in the core curriculum and minimally covered in the fiscal administration specialization. In addition, the turnover in the public budgeting and finance faculty provided new scrutiny of the content of the core budgeting course. The catalog description of the course was quite broad:

Examination of the techniques of the public budgetary process and related financial management techniques

Each instructor, whether full time or adjunct, was free to interpret the course description and choose which components would be included and emphasized. Course content varied markedly depending on who taught the course.

As the faculty examined the syllabi of the existing public budgeting and financial management courses, it seemed that in many cases courses had been arranged based on how a standard textbook presented the field over 15 weeks rather than on some a priori, independent judgment about course content that was followed by a search for texts to deliver those key topics in the most effective fashion. With course content and structure more ad hoc and inconsistent than one would recommend for a strong academic program, the key question still remained: what ought Northern Illinois University MPA students learn about public budgeting, public finance, and financial management? Furthermore, what distinctions should be made between the knowledge areas and skill competencies appropriate for students who will be general managers (e.g., city or county managers) and those who aspire to leadership roles in the area of finance and budgeting (e.g., finance directors or senior budget and finance analysts)?

NASPAA’s Curriculum Standards for MPA Programs have historically not provided specific guidance on what should be required topics in public budgeting and financial management courses. The standards rely on general statements such as the “common curricular components shall enhance the student’s values, knowledge, and skills to act ethically and effectively [i]n the management of
public service organizations, the components of which include...budgeting and financial processes” (NASPAA, 2005, p. 9). The standards also refer to the need for the MPA curriculum to provide students with an understanding of the public policy and organizational environment, including economic and social institutions and processes. (See the Appendix for more extensive excerpts from the NASPAA curriculum standards in place at the time of our curricular reform. While the standards were updated in 2009, review of the new standards indicates that our substantive conclusions and observations remain accurate; thus, we have chosen to retain reference to the standards that were contemporaneous with the reform process).

The accounting and finance section of the 1992 report of the ICMA/NASPAA Task Force on Local Government Management Education (LGME; see Appendix) provides more detailed guidance in this regard. For example, the LGME stated:

The local government administrator needs to go far beyond budgeting. Familiarity with accounting and financial reporting, the assessment of financial conditions, knowledge of creative financing techniques, capital financing methods, and cash management are essential. Because they are involved in revenue as well as expenditure policy development, local administrators must understand basic principles of public finance and tax policy. (NASPAA, 1992)

This standard for the training of general local government managers was not being fully met by the existing MPA curriculum. The existing core curriculum provided little or no training in revenue policy and analysis, financial accounting, or public finance and tax policy. Moreover, there were no similar guidelines for competences in the actual public budgeting and financial management specializations. Thus, the gauntlet had been laid down. Beginning with the framework of the general and specialized NASPAA standards (including LGME), and drawing in the alumni and advisory board resources available to us, we were challenged to identify a set of specific skills and knowledge areas that could be presented as discrete topics in one or more courses in the MPA program.

Lacking a reference to nationally developed standards or guidelines, and lacking resources for our own national survey, the faculty adhered to the principle that competencies should be identified in collaboration with our employer stakeholders, largely by surveying them to develop a framework for the budgeting and financial management coursework in the MPA. The survey was not intended to produce a structured template that would result in a single syllabus for each course, regardless of instructor. Rather, the goal was a list of competencies to be developed in each course, and individual instructors would choose the texts, articles, cases, and assignments to challenge their students.
Methodology

To begin the process, the budget and finance faculty developed a list of specific skills and knowledge areas that they thought should be provided as part of the budgeting and finance curriculum in the Northern Illinois University MPA program. Faculty developing this list have held faculty positions at nine different institutions, had studied at 10 different institutions, represented over 40 years of practitioner experience at all levels of government and in nongovernmental organizations (NGOs), and held degrees or professional certification in six different academic disciplines. The list was then vetted with key practitioner advisors and other affiliated faculty and then converted into a survey format for our alumni and advisory board to ascertain the degree to which they agreed that the selected competencies should be included in the MPA curriculum. The content decisions of the survey included these elements:

- Alignment of curriculum with NASPAA standards
- Alignment of curriculum with program mission
- Ranking of curricular components to ensure the most important could be included in the curriculum
- Assessment of current curricular content
- Assessment of content not currently in the curriculum
- Assessment of appropriate placement in the core vs. specialization curriculum
- Alignment of curriculum with employer expectations
- Alignment of curriculum with admissions expectations and standards

Recognizing the limited time most of our targeted respondents were likely to have to complete any survey, much time and attention was spent in designing the survey to elicit the greatest amount of useful information while minimally taxing the respondent. Several decisions helped fulfill these intentions:

- The survey was sent and returned electronically.
- The survey used simple rating scales, but an open-ended comment section was provided to allow respondents to provide additional information and explanations.
- The survey was formatted in Excel to make its use easier for both the respondents and the faculty analysts.

Respondents were asked to react to the list of competencies by rating the importance of teaching each competency to (a) all future public and nonprofit managers; and (b) to future finance directors:
On a 0 to 4 scale, with 0 being “not at all important” and 4 being “essential”:
How important is it that this competency be taught to all future public/non-profit managers or, alternatively, to future finance directors?

The response rate of our nonrandom sample of 11 respondents was 100%. These respondents included senior managers in local government (including four current city managers, two of whom had also served as finance directors for much of their career, and two current finance directors), one director of a large nonprofit agency; one large-city fire chief; the research manager of a large public finance professional association; and one public administration professor from another university. They also spanned multiple generations of public administrators.

Results
Analysis of the survey results was straightforward. We analyzed rankings for the skills and competencies on both a median and mean basis to identify any pertinent dispersion issues. The median and mean distributions were very close, and we adopted the median analysis as our basis, given the ordinal nature of the data. As seen in Table 1, skills and competencies were first ranked based on the utility to all managers, and then ranked on utility to finance specialists. Of the 40 ranked competencies, only 14 received a median score of 4.0 (essential) for all future managers, and one received a median score of 3.5. On the other hand, 30 competencies, including most but not all of the previous 14 competencies, received a median score of 4 (essential) for future finance specialists. Two of the competencies received a median score of 3.5 for future finance specialists (fund-raising strategies and equity effects). The good news was that many of the essential budgeting competencies were already incorporated into the existing required core budgeting course.

On the other hand, public revenue competencies ranked highly by the survey had not been systematically included in this core course. For example, the treatment of types of taxes and sources of revenues in the core budgeting course syllabi depended on who was teaching the course, and sometimes received little more than a mention. Basic accounting competencies received a high rating for both general managers and finance specialists. Fund accounting and reading financial statements received high marks for both groups. Yet a semester-length fund accounting course received a low ranking for general managers but an “essential” ranking for finance specialists. Results such as these demonstrated the importance of developing the curriculum with these two distinctive audiences in mind.

The next step was to map the competencies into logical course-based groupings, a mapping that is consistent with the backward-mapping strategy utilized by Durant (1997). The faculty committee quickly discerned that it was not possible to reasonably include all of the competencies rated highly for all managers into a
## Table 1.
**BOA Survey Results: Budgeting and Financial Management Competencies**

<table>
<thead>
<tr>
<th>best practice in budgeting (gfoa framework)</th>
<th>4.0</th>
<th>4.0</th>
</tr>
</thead>
<tbody>
<tr>
<td>budget as communications device</td>
<td>4.0</td>
<td>4.0</td>
</tr>
<tr>
<td>budget as financial plan</td>
<td>4.0</td>
<td>4.0</td>
</tr>
<tr>
<td>budget as operations guide</td>
<td>4.0</td>
<td>4.0</td>
</tr>
<tr>
<td>budget as policy document</td>
<td>4.0</td>
<td>4.0</td>
</tr>
<tr>
<td>capital budgeting: process, format, and management</td>
<td>4.0</td>
<td>4.0</td>
</tr>
<tr>
<td>criteria for evaluating revenue and expenditure policy/programs</td>
<td>4.0</td>
<td>4.0</td>
</tr>
<tr>
<td>debt</td>
<td>4.0</td>
<td>4.0</td>
</tr>
<tr>
<td>economic development financing tools: TIF, abatements, IRBs</td>
<td>4.0</td>
<td>4.0</td>
</tr>
<tr>
<td>types of taxes: property, income, sales</td>
<td>4.0</td>
<td>4.0</td>
</tr>
<tr>
<td>board-manager financial relationships (fiduciary roles and responsibilities of each)</td>
<td>4.0</td>
<td>3.0</td>
</tr>
<tr>
<td>contract management: options, bargaining strategies, enforcement</td>
<td>4.0</td>
<td>3.0</td>
</tr>
<tr>
<td>nexus between policy, politics, and budgeting</td>
<td>4.0</td>
<td>3.0</td>
</tr>
<tr>
<td>politics of budgeting (incl. board and administrative relations)</td>
<td>4.0</td>
<td>3.0</td>
</tr>
<tr>
<td>dillon’s rule</td>
<td>3.5</td>
<td>2.0</td>
</tr>
<tr>
<td>ability to read financial statements (incl. CAFR and monthly reports)</td>
<td>3.0</td>
<td>4.0</td>
</tr>
<tr>
<td>consumption versus investment (operating vs. capital budgets)</td>
<td>3.0</td>
<td>4.0</td>
</tr>
<tr>
<td>debt management</td>
<td>3.0</td>
<td>4.0</td>
</tr>
<tr>
<td>fees and charges</td>
<td>3.0</td>
<td>4.0</td>
</tr>
<tr>
<td>financial planning</td>
<td>3.0</td>
<td>4.0</td>
</tr>
<tr>
<td>fund accounting (basic structure, rationale) vs. private sector accounting</td>
<td>3.0</td>
<td>4.0</td>
</tr>
</tbody>
</table>
Table 1.  
Continued

| General approaches to budgeting (performance, program, target, incremental) | 3.0 | 4.0 |
| Investment options | 3.0 | 4.0 |
| Penalties and fines | 3.0 | 4.0 |
| Procurement | 3.0 | 4.0 |
| Sources of revenues (wealth, income, and consumption) | 3.0 | 4.0 |
| Information systems/Enterprise systems | 3.0 | 3.0 |
| Risk management | 3.0 | 3.0 |
| Fiscal federalism/Intergovernmental fiscal relations | 3.0 | 2.0 |
| Fund-raising strategies | 2.5 | 3.5 |
| Auditing | 2.0 | 4.0 |
| Cash flow theory | 2.0 | 4.0 |
| Cash management (intro) | 2.0 | 4.0 |
| Cash management planning | 2.0 | 4.0 |
| Cash management/Inventory management | 2.0 | 4.0 |
| Fund accounting: semester course, in depth | 2.0 | 4.0 |
| Pensions | 2.0 | 4.0 |
| Revenue forecasting: techniques, process options | 2.0 | 4.0 |
| Strategies to ensure assets and protect employee benefits | 2.0 | 4.0 |
| Equity effects (horizontal/vertical), incidence, benefits principle | 2.0 | 3.5 |
| Market failure/government failure (including public goods and externalities) | 2.0 | 3.0 |
Reformulating a Fiscal Administration Curriculum

single core course. However, if a new course were to be required for all general managers, it would need to have enough substance to justify its inclusion in the MPA core. We followed the general principle of mapping competencies ranked 3.0 or higher into one of two core courses, one with a budgeting orientation and another with a public finance orientation.

Table 2 depicts how the competencies were assigned across the existing Public Budgeting course, a new Revenue Analysis & Financial Management course to encompass public finance competencies, and a revised Intermediate Financial Management course to provide advanced training in the skills and competencies ranked highly for future finance specialists. The stand-alone course in Fund Accounting already in place for the fiscal administration concentration was retained since it received a high ranking for future finance specialists (see Table 2).

A Public Finance Seminar was added to the curriculum along with these other changes, paralleling the Politics of Public Budgeting seminar. These latter two courses are designed to attract doctoral students in public administration and usually would contain a mixture of doctoral students and advanced MPA students. These courses are designed to meet the advanced theoretical challenges for the doctoral students without being “out of reach” of the advanced MPA students. Rather than a hands-on skills course (such as the core budgeting course), the advanced budgeting course, for example, gives MPA students a broader “30,000-foot view” of budgeting and financial management systems, with models and paradigms that are more specific to budgeting and financial management careers.

There were two interesting exceptions to the general principle that we would assign competencies of 3.0 or higher only to one of the core courses. As seen in Table 2, discussions of market failure and equity effects were ranked as essential and important only to future finance specialists, not to general managers. Despite their relatively low ranking for all managers, they were included in one or both of the required core course syllabi. The MPA faculty felt strongly that the discussion of equity effects (horizontal and vertical equity, incidence, benefits principle) bears on critical ethical questions as general managers design policies and guide discussions of elected officials about which revenue sources should be used to pay for various public services. Who pays the tax in the end (incidence) is not just a technical public finance issue, but fundamentally bears on issues of public policy fairness, and we want all of our MPA students to have a good understanding of the effects of choosing different revenue sources. The discussion of market failure and government failure (including public goods and externalities) also relates to issues of the role of government, which services it should provide, and who should pay for them. The market failure paradigm is so important, in the view of the faculty, that it was included in the syllabi of both core courses and two of the courses in the concentration.

The decision to override the general methodology of relying on practitioner rankings was not seen as doing particular violence to practitioner preferences,
Table 2.
Mapping Competencies to Course Syllabi

<table>
<thead>
<tr>
<th>Competency</th>
<th>Mgrs</th>
<th>Spec</th>
<th>Public Budgeting</th>
<th>Revenue Analysis &amp; Financial Mgt</th>
<th>Fund Accounting</th>
<th>Politics of Public Budgeting</th>
<th>Interned Mgt</th>
<th>Public Finance Seminar</th>
</tr>
</thead>
<tbody>
<tr>
<td>Best Practice in Budgeting (GFOA framework)</td>
<td>4.0</td>
<td>4.0</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Budget as communications device</td>
<td>4.0</td>
<td>4.0</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Budget as financial plan</td>
<td>4.0</td>
<td>4.0</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Budget as operations guide</td>
<td>4.0</td>
<td>4.0</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Budget as policy document</td>
<td>4.0</td>
<td>4.0</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Capital budgeting: process, format, and management</td>
<td>4.0</td>
<td>4.0</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Criteria for evaluating revenue and expenditure policy/programs</td>
<td>4.0</td>
<td>4.0</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Debt</td>
<td>4.0</td>
<td>4.0</td>
<td>X</td>
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<td>Types of taxes: property, income, sales</td>
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<td>Contract management: options, bargaining strategies, enforcement</td>
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<td>Politics of budgeting (incl. board and administrative relations)</td>
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<td>Ability to read financial statements (incl. CAFR and monthly reports)</td>
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<td>Consumption versus investment (operating vs. capital budgets)</td>
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<td>Fiscal federalism/Intergovernmental fiscal relations</td>
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<td>Fund accounting (basic structure, rationale) vs. private sector accounting</td>
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<td>General approaches to budgeting (performance, program, target, incremental)</td>
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<td>4.0</td>
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since it included a few more competencies into the generalist curriculum than the practitioners had indicated. A more egregious exception to the methodology would have been excluding a highly ranked competency from the curriculum.

Table 2.  
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<td>Penalties and fines</td>
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<td>Sources of revenues (wealth, income, and consumption)</td>
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<td>Cash flow theory</td>
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<td>Cash management planning</td>
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<td>Cash management/Inventory management</td>
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<td>Fund accounting: semester course, in depth</td>
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<td>Revenue forecasting: techniques, process options</td>
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<td>Strategies to ensure assets and protect employee benefits</td>
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<td>Equity effects: horizontal/vertical, incidence, benefits principle</td>
<td>2.0</td>
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<td>Market failure/government failure (including public goods and externalities)</td>
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Aside from the equity effects and market failure paradigm discussions, the main treatment of competencies falling below 3.0 for general managers was allocating them to specialized courses in the fiscal administration concentration—as long as they had a score of 3.0 or higher in the rankings for future finance specialists. As seen in Table 2, most of them were placed in the intermediate financial management course. Some specialized topics also are designated for introductory treatment in one of the core courses, so general managers at least recognized the concept in workplace discussions. Once the mapping had occurred, the content of the existing courses needed to be reexamined also to identify gaps in the curriculum and the need to reallocate material across courses. This is the forward-mapping suggested in Durant (1997) as a means of filling competency gaps that have been identified in one’s curriculum.

After the faculty had agreed on the allocation of competencies across courses, the committee proposed the new scheme with two new courses for MPA faculty approval:

**PSPA 611: Public Revenue Analysis and Financial Management:**  
Investigation of theories and politics of taxation, features and impacts of alternative revenue generation methods, and financial management topics including procurement and procurement systems, enterprise resource planning systems, and contract management.

**PSPA 653: Intermediate Public and Nonprofit Financial Management:** Covers advanced topics in financial management essential for public managers seeking specialized knowledge in public budgeting and financial management. Topics typically include: debt management, risk management policy, revenue policy, fundraising strategies, auditing, cash and investment management and policies, and revenue forecasting.

The critical discussion for the faculty centered on the opportunity cost of including another course in the MPA core. Affirming that we did not want to increase the graduation requirements by another 3 hours, the only alternative was to reduce the number of electives included in the various concentrations from 15 hours to 12 hours. The decision to increase the core requirements with the new revenue course and to reduce the available electives was unanimous. It was based on a consensus that the employer and alumni stakeholders were providing critical information about what was needed to be a successful local government manager, regardless of specialization.

Subsequent to this curriculum review and revision, the program has also evaluated the local government management concentration and is revising and modernizing the current human services concentration into a nonprofit management curriculum. In both cases, we have used similar employer and alumni feedback.
systems to help faculty build the most appropriate framework for each concentration and to differentiate core knowledge for general managers and for specialists. The nonprofit concentration is also benefiting from the guidelines previously developed at the national level for that specialization.

**Lessons for Other Programs**

There are several important lessons for other programs that are revising curricula. First, a faculty-driven approach to curriculum revision that begins with a list of topics in a set of textbooks, or in the syllabi of the faculty when they were students, does not challenge the assumptions that produced those texts and syllabi in the past. While they still may have relevance, without input from the program’s employers and alumni, one cannot be sure. An outcome-driven approach using feedback from employers and alumni provides a valuable link to the results desired by the MPA degree program: to produce new managers who are readily employable and are effective public managers. Such valuable feedback is essential to success and should not be ignored, but rather embraced. The underlying orientation of the public administration program, to enhance theory-based professional practice of local government management, is served by a continuous dialogue with the employers and alumni stakeholders. They have a keen interest in a program that prepares students to be effective employees in their organizations. In addition, practitioner feedback provides an essential link in operationalizing the general (and somewhat vague) NASPAA standards (both new and old versions) into a tractable and effective curricular model that provides well-grounded training for both general managers and specialists.

Second, the survey of competencies provides a framework for crafting the courses. It does not provide a blueprint. An agreement to work within the framework of competencies-based courses does not require rigid adherence to a single syllabus for each course, a blueprint that each instructor must follow. Instead, it provides a checklist of competencies that need to be integrated into each course each time it is offered, regardless of the instructor. Different texts, readings, cases, and other assignments can accomplish the same task of helping students obtain competencies. *The key point is that students will gain the same competencies in the specified courses, regardless of the instructor.*

Third, the revision of the fiscal administration concentration is not finished. It is now important to plan evaluations of the curriculum in a few years to see whether students are obtaining the competencies they need to be effective managers and effective fiscal administrators. Both PSPA 611 and PSPA 653 (and the revised core budgeting class, PSPA 610) are now being offered. Evaluating the effects of these curricular innovations involves a different survey and a future paper reporting the results.

Finally, it is important to remember the differing core competencies that might be appropriate for specialists as opposed to general managers. The core
and specialty curricula should reflect these differences. This curricular exercise prompts us to urge NASPAA and its members to develop guidelines for MPA/MPP specializations besides nonprofit management and local government management. While we are happy at present with the results of our admittedly “local” process, we no doubt would benefit from curricular guidelines for public budgeting and financial management courses developed with a national dialogue. We are ready to begin those conversations.

FOOTNOTE
1 The survey instrument is available from the authors upon request.

REFERENCES


Reformulating a Fiscal Administration Curriculum

Michael Peddle is associate professor of Public Administration and associate dean of the College of Liberal Arts and Sciences at Northern Illinois University. An economist and accountant by training, his current research focuses on the fiduciary responsibilities of elected government officials and financial innovations in times of fiscal stress. He has served as a consultant to state and local governments and NGOs on financial, economic development, and growth management issues and has served as an expert witness in numerous proceedings. His book *Does Government Need to Be Involved in Primary and Secondary Education?* (Garland, 2001) introduced the concept of market role assessment, a technique for objectively analyzing the appropriate role for government in a particular market.

Kurt Thurmaier is professor and director of the Division of Public Administration at Northern Illinois University. His research interests include state and local public budgeting and finance, intergovernmental relations, comparative public management, and financing e-government. His career includes four years in the Wisconsin State Budget Office as a budget and management analyst, a Fulbright Scholarship in Krakow, Poland, and consultant work on U.S. city-county consolidation efforts. In addition to numerous articles, his books include *Policy and Politics in State Budgeting and Case Studies of City-County Consolidations: Reshaping the Local Government Landscape*, *City-County Consolidation: Promises Made, Promises Kept?* and *Networked Governance: The Challenges of Intergovernmental Management*. 

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Appendix

Excerpts from Various NASPAA Curriculum Standards for MPA Programs*

GENERAL STANDARDS
4.0 Curriculum
4.1 Purpose of Curriculum. The purpose of the curriculum shall be to prepare students for professional leadership in public service.

4.2 Curriculum Components and General Competencies. The common and additional curriculum components shall develop in students general competencies that are consistent with the program mission. The curriculum components are designed to produce professionals capable of intelligent, creative analysis and communication, and action in public service.

4.21 Common Curriculum Components. The common curriculum components shall enhance the student’s values, knowledge, and skills to act ethically and effectively:

In the Management of Public Service Organizations, the components of which include:
– Human resources
– Budgeting and financial processes
– Information management, technology applications, and policy.

In the Application of Quantitative and Qualitative Techniques of Analysis, the components of which include:
– Policy and program formulation, implementation and evaluation
– Decision-making and problem-solving

With an Understanding of the Public Policy and Organizational Environment, the components of which include:
– Political and legal institutions and processes
– Economic and social institutions and processes
– Organization and management concepts and behavior

Diversity Across the Curriculum. Program activities must prepare students to work in and contribute to diverse workplaces and communities. Consequently, courses, curriculum materials, and other program activities should expose students to differences relating to social identity categories such as race, ethnicity, gender, class, nationality, religion, sexual orientation, disability, age, and veterans status.

* in effect for 2006–2008
These area requirements do not prescribe specific courses. Neither do they imply that equal time should be spent on each area or that courses must all be offered by the public affairs, public policy or public administration programs. Nor should they be interpreted in a manner that might impede the development of special strengths in each program.

4.22 Additional Curriculum Components. Each program shall clearly define its objectives for additional work and the rationale for the objectives, and shall explain how the curriculum is designed to achieve those objectives. The statement of objectives shall include any program specializations or concentrations and the main categories of students to be served (e.g., pre-service, in-service, full-time, part-time).

If a program advertises its ability to provide preparation for a specialization or concentration in its catalog, bulletin, brochures, and/or posters, evidence shall be given that key courses in the specialization or concentration are offered on a regular basis by qualified faculty. Specialization or concentration courses may be offered by units other than the public affairs or administration program. The specialization and concentration courses shall not be substitutes for the common curriculum components.

LOCAL GOVERNMENT MANAGEMENT EDUCATION

ICMA/NASPAA Task Force on Local Government Management Education, 1992 Curriculum

...A curriculum designed to prepare persons for professional careers in local government management should be built upon the standards established by NASPAA for master's programs in public administration. The core curriculum requirements in the NASPAA standards cover the knowledge and skills needed by any professional public manager. To serve simultaneously as the core of a local government management curriculum, however, the courses in the curriculum prescribed by the NASPAA standards should integrate local government concepts, issues, and examples so that local government management students are familiar with what is generic as well as distinct about the context and administration of local governments. Courses that draw only, or even largely, upon knowledge and examples drawn from the federal or state experience are not sufficient. The local government environment is unique. No other legislative system, for example, is so dependent upon part-time, functionally non-partisan, elected officials. Instruction in local government management must make such distinctions. The model presented here offers a more intensive local government alternative to the standard model of a generic core coupled with advanced components leading to a specialty. As such, it suggests tailoring the core curriculum to meet the needs
of professional local government administrators. Consequently, the following
discussion of substantive knowledge and management skills is designed to augment
NASPAA’s statement of the common curricular components.

Finally, this model can also serve as a guide to developing the content of courses
in local government to serve the needs of persons educated in other professional
programs who wish to benefit from exposure to knowledge regarding the policy-
making and administrative operations of American local government.

**Substantive Knowledge**

The content of the curriculum in local government management should be
predicated upon the recognition that the local government manager is an
important change agent who needs to be attentive to problems in the community,
should be in the vanguard of efforts to seek change to solve those problems, and
always acts with full awareness of the public administrator’s role as integral to
democratic political processes.

Elements that should be added to, or emphasized in, the NASPAA curriculum standards
for purposes of educating professional local government administrators include:

5. **Administrative Ethics**—Ethical problems are not unique to local government, but
the local government leader operates in unusually close proximity to constituents
and, as a result, is subject to special political and ethical pressures. Local government
administrators need to know how to apply the ethical values emphasized in the
NASPAA curriculum; they should be fully aware of the ICMA Code of Ethics
and its application. In addition they need to know where and when they will face
ethical problems as well as how to deal with ethical dilemmas. Most importantly,
they must know how to be the vigilant conscience of their administrative staff
and elected officials, and set an appropriate example to bring ethical principles
into both public policy considerations and the daily operations of local government.

Finally, local administrators need to have a sense of how to apply ethics (e.g.
when to bend and when not to bend) in the ongoing practice of administration.

7. **Intergovernmental Relations**—The focus for the local government administrator
needs to be on interlocal, interregional, local-state, and local-national government
relations. Administrators should fully understand the need for effective interactions
with the non-profit and private sectors and the issues surrounding the involvement
of private organizations in public decision making and the private provision
of public services. Traditional orientations of the federal system comprised of
federal-to-state-to-local processes should be supplemented with more contemporary
orientations that focus upon the local government as the primary provider of
public services, often in accordance with federal and state regulations and with
limited or no outside financial assistance.

9. **Planning**—Broad familiarity with planning, not only land use planning but
also financial planning, personnel planning, strategic planning and long-range
planning for service delivery functions, is necessary for local management to
meet the needs of the 1990s and beyond.
11. Urban Economics—Administrators need to understand the economic system and the economic dimensions of land use and development, housing, poverty, employment, transportation, and environmental protection. Increasingly, the local administrator needs to grasp the place of the community in the national and international economy.

14. Accounting and Finance—The local government administrator needs to go far beyond budgeting. Familiarity with accounting and financial reporting, the assessment of financial conditions, knowledge of creative financing techniques, capital financing methods, and cash management are essential. Because they are involved in revenue as well as expenditure policy development, local administrators must understand basic principles of public finance and tax policy.

**Management Skills**

Local government administrators require all of the management skills described in the NASPAA standards. They must be able to analyze and communicate information, data, and ideas in terms meaningful to citizens and elected officials who may lack professional skills, and/or related educational background. In addition, they should have educational preparation in the following:

5. Long-Range Financial Planning—Unceasing growth of local government responsibilities, coupled with continuing public resistance to increased fiscal support for the public sector, makes it imperative that local government managers engage in careful, informed, and accurate projections of future revenues and expenditure needs; be familiar with a wide range of new and different sources of potential program funding; and engage in cash management, capital budgeting, and revenue forecasting strategies designed to optimize their jurisdiction’s long-term fiscal health and stability. Toward this end, their educational experiences must give them extensive familiarity not only with public sector budgeting but also with the full range of finance administration tools, and make them cognizant of the need for and methods of long-term financial planning.

8. Acquisition of Resources—Today, local government administrators need to be especially adept at securing external funding and support from organizations and foundations as well as funds from state and federal governments.
Social Entrepreneurship and the Financing of Third Sector Organizations

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Andrew Young School of Policy Studies,
Georgia State University

Mary Clark Grinsfelder
Community Council of Greater Dallas

Abstract
In this paper, we review the literature on entrepreneurship and the skill sets required by entrepreneurs operating in different sectors of the economy. Case studies from the social enterprise literature are examined in some detail. We search for distinctions between entrepreneurship in the business and public sectors and entrepreneurship in the nonprofit sector and relate this to the variations in financial support found among nonprofit sector organizations. We conclude that third sector social entrepreneurs are likely to require a different mix of skills than business entrepreneurs. In particular, political skills broadly defined, and the ability to secure and maintain charitable support, appear to be common to successful social enterprise ventures. Hence, taking too narrow a view of social entrepreneurship and social enterprise by confining it to the traditional business model of entrepreneurship constrains the potential benefits of developing social entrepreneurship in the third sector. This implies that education of potential social entrepreneurs should be broadly construed, combining business, public and nonprofit based instruction.

While the concept of entrepreneurship has a long history in the commercial sector, it has been embraced relatively recently in the social economy or third sector. Nonetheless, social entrepreneurship is now one of the hottest topics for policy makers and practitioners seeking new solutions to social problems in the United States, Europe, and other parts of the world. However, there is not yet conceptual clarity on the nature of social entrepreneurship and how it is similar and different from business sector entrepreneurship. Indeed, Dees and Anderson...
(2006) argue that the concept of social entrepreneurship represents a confluence of two schools of thought: the idea of generating earned (market) income in support of social purposes (e.g., through commercial activity by nonprofit organizations) and the undertaking of innovation for social change.

The latter idea is generic and sector-agnostic, and consistent with the ideas of Jean-Baptiste Say, Joseph Schumpeter, and Peter F. Drucker. Say (1803) is credited with associating the French term *entrepreneur* (“one who undertakes”) with venturesome individuals who stimulate economic progress by finding new and better ways of doing things. Schumpeter (1934) wrote of entrepreneurship as the bringing about of “new combinations” of the means of production. Schumpeter’s emphasis was on innovation, leading to new kinds of economic goods and services, new ways of producing them, the opening of new markets, development of new sources of raw materials, or the creation of new organizational structures. Drucker (1995) characterized entrepreneurs as searching for change, responding to it, and exploiting change as an opportunity. D. Young (1983) and later Brinckerhoff (2000) adapted these notions of entrepreneurship specifically to nonprofits and social entrepreneurship, respectively. D. Young (1986) described nonprofit entrepreneurs as “innovators who found new organizations, develop and implement new programs and methods, organize and expand new services, and redirect the activities of faltering organizations” (p.162).

As Bielefeld (2009) noted, the confusion surrounding the distinction between for-profit and nonprofit entrepreneurs raises important questions for the teaching and practice of social entrepreneurship. How should we prepare nonprofit managers to become social entrepreneurs? To what degree do social entrepreneurs do the same things that business entrepreneurs do? What can managers and academics learn from the study and practice of commercial and social entrepreneurship?

The proper conceptualization of social entrepreneurship in the third sector—in particular, the nature of its link with the commercial marketplace—matters because it defines the skill sets that will be sought by third sector organizations to address their social missions. If social entrepreneurship is primarily about marketplace success, then the traditional model of the business entrepreneur is appropriate. However, if the broader concept of innovator and catalyst for social change is adopted, then a different skill set may be required of social entrepreneurs.

In this paper, we argue that the broader conception of the social entrepreneur is appropriate because social enterprise does not depend solely on marketplace success. Indeed, the financial foundations of third sector organizations are quite varied, and this variation is likely to be reflected in the financing packages for new ventures, implying that social entrepreneurs must be able to negotiate public sector and philanthropic environments as well as markets. Given that these environments require different knowledge and skill capacities, social entrepreneurs need capabilities that are somewhat different from those of the typical business
sector entrepreneur. This in turn suggests that would-be social entrepreneurs require a different educational preparation than business sector entrepreneurs.

The next part of this paper examines the literatures on business, public sector, and social entrepreneurship with an eye toward identifying similarities and differences in required skills. An important finding is that required skill sets are related to the resource opportunities available to entrepreneurs in different sectors and that social entrepreneurs must be able to negotiate resources from all three sectors. Thus, in the next section, we examine the economic foundations of various third sector environments, in particular the dependence of nonprofits in different fields of service on sources of income derived from the market, government, and philanthropy. This provides the context for reviewing a set of published case studies of social enterprise that reveal, at the micro level, the variety of financing sources and entrepreneurial skills required for successful social enterprises.

Subsequently, we classify these skills into three general categories: market, political, and generic (organizational) management skills. We conclude that social entrepreneurship is not only distinct from business entrepreneurship in its mix of skill requirements but also that these requirements vary substantially within the third sector. In the final section, we reflect on the implications of this analysis for education of successful social entrepreneurs. This in turn suggests that would-be social entrepreneurs require different educational preparation than classical business sector entrepreneurs.

Entrepreneurial Capacities

The modest but growing literature on social entrepreneurship must be put into the context of a much more robust overall literature on entrepreneurship, most of which is implicitly focused on the business sector but is often generic in its approach to entrepreneurship as a phenomenon. The broader literature considers various perspectives on entrepreneurship, including the personality traits of entrepreneurs (e.g., Cunningham & Lischeron, 1991), the motivations for entrepreneurial behavior (e.g., D. Young, 1983), the contexts and circumstances of entrepreneurship (e.g., Kearney, Hisrich, & Roche, 2008), the decision-making processes through which entrepreneurship takes place (e.g., Hisrich, 2006), the role of entrepreneurship in economic theory (e.g., Baumol, 2002; Kirzner, 1979), and the skills and capacities required for success. Our review focuses primarily on the latter, with an eye toward identifying those skills and capacities that can be addressed in educational curricula for social entrepreneurs.

Generic Skills

Cunningham and Lischeron (1991) reviewed six schools of thought about entrepreneurs. Three of these hinge on skill sets: the management school, which emphasizes that entrepreneurs need certain kinds of management skills to successfully run and grow their organizations; the leadership school, which
emphasizes abilities to adapt to change, assume responsibility, and inspire and motivate people; and the intrapreneurship school, which emphasizes the special capacities to recognize and exploit opportunities within existing organizations, including the ability to set up new units, services, and programs. Various contributions to entrepreneurship research elaborate on one or more of these skill sets. For example, Smilor and Sexton (1996) emphasized the leadership characteristics, capacities, and skills of entrepreneurs while Kirzner (1979) explained how entrepreneurs use their keen managerial ability to perceive profitable opportunities that go unnoticed by others.

Public Sector Skills

Several scholars have compared entrepreneurship in the public sector to entrepreneurship in the business sector. For example, Kearney, Hisrich, and Roche (2008) concluded that public sector characteristics such as larger, hierarchical, and more rigid organizations; short-term budgets and planning horizons, lack of rewards and incentives to innovate, cultures of risk aversion, political reluctance to close down failing programs, coordination issues among bureaucratic entities, limits on public resources, and lack of public confidence require public sector entrepreneurs to be especially skilled in persuasion, compromise and accommodation, problem solving, vision articulation, resource development, alliance and coalition building, navigating the legislative process, and sharing credit with program participants and supporters.

Social Entrepreneurship Skills

The specialized literature on social entrepreneurship identifies a number of important skill sets that social entrepreneurs need to bridge the public, nonprofit, and business contexts. D. Young (1983, 1985, 1990) identified several generic capacities, including problem-solving ability, ingenuity and creativity, analyzing risks, identifying opportunities, consensus building, mobilizing resources, and persistence. Risk taking included jeopardizing professional reputation and secure employment. Political skills included negotiating grants and contracts, securing sponsorship of key supporters, working to pass enabling legislation, and satisfying regulatory authorities. Persistence included the patience to overcome financial, regulatory, political, and bureaucratic barriers, especially in the context of government funding.

Waddock and Post (1991) argued that social entrepreneurs required the ability to understand extremely complex problems and to form a convincing vision for solving them. Social entrepreneurs needed the personal credibility to secure critical resources, build networks of support for their initiatives, and frame a sense of collective purpose for those who support them. Pilz (1995) found that nonprofit entrepreneurs needed to be able to discern community needs, take risks, develop innovations, and focus on what they could do for others. Brinkerhoff (2000)
viewed social entrepreneurs as stewards of the public interest who must be able to identify new ways of serving constituents and adding value to existing service, take reasonable risks, understand the difference between wants and needs, understand social and financial returns to investments, and focus on mission as well as financial feasibility.

Dees (2001), focusing on the role of nonprofit entrepreneurs as change agents, noted their ability to adopt a mission to create social (not just private) value; recognize and relentlessly pursue new opportunities to serve the mission; engage in continuous innovation, adaptation, and learning; act boldly even without resources currently in hand; and demonstrate a sense of accountability for desired outcomes for the constituencies served. Andersson and Helm (2008) also argued that nonprofit entrepreneurship required innovation, proactivity, and risk taking.

**Comparisons With Business and Public Sector Skill Sets**

Dees (2001) observed that social entrepreneurs have much in common with business entrepreneurs, including drive, ambition, leadership skills, and a sense of how to make maximum use of resources. Thompson, Alvy, and Lees (2000) also argued that skills and characteristics of social entrepreneurs mirror those of business entrepreneurs but require an extra dose of “visionary ideas, leadership skills, and a commitment to helping others” (p. 328). In particular, social entrepreneurs must be able to discern unmet public needs and mobilize resources and people to address those needs.

Alvord, Brown, and Letts (2004), using data from seven well-established organizations, suggested that social entrepreneurs need the capacity to bridge diverse stakeholder communities and adapt in response to changing circumstances over the long term. Light (2005) identified the ability to overcome serious barriers to success as crucial to creating “pattern-breaking change” in how governments, nonprofits, and businesses address significant social problems. Successful social entrepreneurs tend to possess the skills and capabilities to develop a particular idea, capitalize on opportunities, and work within organizational constraints and particular financial environments (Light, 2008). Like Dees, Light argued that social entrepreneurs need not rely on market-based tools to accomplish their objectives, because earned income is only one of several means to support social goals.

Handy, Ranade, and Kassam (2007) also saw strong parallels between nonprofit and business entrepreneurs in their ability to overcome challenges and constraints, identify new opportunities, promote innovative ideas, mobilize resources, and bear risks. Wei-Skillern, Austin, Leonard, and Stevenson (2007) found both substantial similarities and differences between social and commercial entrepreneurs. Both must be able to engage the human talent they need for their ventures; both must know, and be known for their abilities in, the industries within which they work; and both must maintain robust networks of contacts that gain them access...
to funds, human talent, and other resources. The differences pertain largely to how they raise and utilize capital: Commercial entrepreneurs can draw on a much more robust and competitive field of commercial investors and a wide range of financial instruments to meet needs at different stages of organizational development. Social entrepreneurs face a much more diverse field of potential funders, ranging from individual contributors and volunteers to foundations and government sources, each with different interests, preferences, and motivations. Moreover, investors in social enterprise tend to cover smaller proportions of overall resource needs for shorter periods of time. This requires social entrepreneurs to spend much of their time continually cobbling together numerous grants, contracts, and contributions while responding to the diverse requirements and constraints of each source of funding.

In sum, the literature on social and nonprofit entrepreneurship exhibits substantial consensus around various generic entrepreneurial capabilities that transcend sectors, but also a recognition that the particular nature and mix of these capacities differs across sectors. In particular, it recognizes that social entrepreneurs essentially operate (simultaneously and in varying degrees) in three resource environments—charitable or voluntary, public and business—hence they require varying mixes of talents and skills to mobilize the resources deriving from each of those environments. In the next section, we consider how the resources required for social entrepreneurship deriving from different sources—markets, government, or philanthropy—vary among different parts of the nonprofit sector. This establishes the overall context for revisiting the necessary skill sets and ultimately the educational preparation required for successful social entrepreneurship.

Economic Foundations of the Third Sector

The economic foundations of social entrepreneurship are not uniform across the third sector. Social entrepreneurs draw funding from different sources because the contexts in which they work vary by country, sector, and field. Thus, it is likely that the skill sets entrepreneurs need to successfully acquire and manage financial resources in different contexts also vary.

Comparative studies clearly demonstrate that the revenue base of the third sector differs from country to country (Salamon, Sokolowski, & Associates, 2004). On average, a 34-country compilation attributes over half of financial support of nonprofit organizations to fee income, another third to government revenue, and 12% to philanthropic sources. However, as illustrated in Table 1, individual countries vary widely in their mixes of revenues from different sources. This suggests that social entrepreneurs operating in different countries will encounter substantially different economic environments in which to find support for their initiatives.
Table 1.
Sources of Revenue of Third Sector Organizations, Selected Countries

<table>
<thead>
<tr>
<th>Country</th>
<th>% Fees</th>
<th>% Government</th>
<th>% Philanthropy</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mexico</td>
<td>85%</td>
<td>5%</td>
<td>3%</td>
</tr>
<tr>
<td>Sweden</td>
<td>62%</td>
<td>29%</td>
<td>9%</td>
</tr>
<tr>
<td>U.S.</td>
<td>57%</td>
<td>31%</td>
<td>13%</td>
</tr>
<tr>
<td>Japan</td>
<td>52%</td>
<td>45%</td>
<td>3%</td>
</tr>
<tr>
<td>France</td>
<td>35%</td>
<td>58%</td>
<td>8%</td>
</tr>
<tr>
<td>U.K.</td>
<td>45%</td>
<td>47%</td>
<td>9%</td>
</tr>
<tr>
<td>South Africa</td>
<td>32%</td>
<td>44%</td>
<td>24%</td>
</tr>
<tr>
<td>34-Country Average</td>
<td>53%</td>
<td>34%</td>
<td>12%</td>
</tr>
<tr>
<td>34-Country Standard Deviation</td>
<td>18%</td>
<td>20%</td>
<td>9%</td>
</tr>
</tbody>
</table>

Source. Salamon et al. (2004).

Within countries, substantial variation also exists among different parts of the third sector. This is well illustrated by data from the United States. Overall, some 70% of the revenue of reporting public charities is derived from fee income broadly defined, consisting of a combination of privately paid fees and charges as well as fee and contract revenues paid to nonprofits by government (Wing, Pollak, & Blackwood, 2008). Another 12% of revenue derives from charitable contributions, 9% from government grants, 5% from investment income, and 3% from other sources. However, these overall proportions vary widely by subsectors within the nonprofit sector, and indeed among individual organizations within subsectors.

Table 2 illustrates some of these differences. Organizations in health care, for example, are very largely dependent on fees (substantially through government insurance programs) while those in the arts, environment, and international work depend more on gifts and grants. Social services and education are also highly fee dependent. Government sources are particularly important in human services, health care, and international work.

The degrees to which revenue portfolios within subsectors vary also differ among fields of service. Table 3, which reproduces data from Chang and Tuckman (1994) using a Herfindahl index, indicates that the average concentration of revenue from particular sources among organizations within a field, as well as the variation of this concentration, differ from field to field within the U.S. nonprofit sector.
sector. (This index varies between 0 and 1; the lower the index, the more diversified is the revenue portfolio of a given organization.) Revenue sources in health care are much more concentrated from one source (fees) than they are for education and human services; arts and culture nonprofits

Table 2.
Sources of Revenue for U.S. Nonprofit Organizations by Field of Service

<table>
<thead>
<tr>
<th>Subsector</th>
<th>Fees</th>
<th>Private Gifts</th>
<th>Gov't Grants</th>
<th>Invest. Income</th>
<th>Other</th>
</tr>
</thead>
<tbody>
<tr>
<td>All</td>
<td>70.3%</td>
<td>12.3%</td>
<td>9%</td>
<td>5.4%</td>
<td>2.9%</td>
</tr>
<tr>
<td>Arts</td>
<td>31.3%</td>
<td>40.8%</td>
<td>12.5%</td>
<td>7.7%</td>
<td>7.7%</td>
</tr>
<tr>
<td>Education</td>
<td>55.9%</td>
<td>14.9%</td>
<td>11.9%</td>
<td>14.1%</td>
<td>3.1%</td>
</tr>
<tr>
<td>Environment</td>
<td>25.1%</td>
<td>48%</td>
<td>14.1%</td>
<td>5.8%</td>
<td>6.9%</td>
</tr>
<tr>
<td>Health</td>
<td>87.5%</td>
<td>4%</td>
<td>3.4%</td>
<td>2.9%</td>
<td>2.2%</td>
</tr>
<tr>
<td>Human Services</td>
<td>53.1%</td>
<td>16.4%</td>
<td>22.7%</td>
<td>2.9%</td>
<td>4.9%</td>
</tr>
<tr>
<td>International</td>
<td>7.6%</td>
<td>67.3%</td>
<td>21.9%</td>
<td>2.2%</td>
<td>1%</td>
</tr>
</tbody>
</table>

Source. Wing et al. (2008).

Table 3.
Concentration of Nonprofit Revenues by Field of Service

<table>
<thead>
<tr>
<th>Subsector</th>
<th>Mean Concentration</th>
<th>Standard Deviation</th>
<th>Coefficient of Variation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Arts/Culture</td>
<td>0.50</td>
<td>0.22</td>
<td>0.44</td>
</tr>
<tr>
<td>Education</td>
<td>0.67</td>
<td>0.22</td>
<td>0.33</td>
</tr>
<tr>
<td>Health</td>
<td>0.71</td>
<td>0.22</td>
<td>0.31</td>
</tr>
<tr>
<td>Human Services</td>
<td>0.65</td>
<td>0.23</td>
<td>0.32</td>
</tr>
<tr>
<td>Total</td>
<td>0.66</td>
<td>0.24</td>
<td>0.36</td>
</tr>
</tbody>
</table>

are the least concentrated in one source. However, arts organizations tend to vary more widely in their concentration as measured by the coefficient of variation (calculated as the standard deviation of the concentration index divided by its mean).

Most of the research on income sources for third sector organizations in the United States is based on data from Internal Revenue Service Form 990, which focuses almost entirely on money income. It is well to note for purposes here, however, that a substantial proportion of the economic support for nonprofits in the United States derives from volunteer labor and that this too varies substantially by subsector. Reasonable estimates suggest that, overall in the U.S. nonprofit sector, it is roughly equal to the value of private charitable contributions; moreover, volunteering tends to be concentrated in particular fields of activity, especially religion and educational or youth services (Wing et al., 2008).

In the United States and Western Europe, various types of resources funded social enterprise in the 1980s and 1990s. The proportion of earned income generated by nonprofit organizations in the United States grew significantly in the 1980s, predicating theories that defined social enterprise by earned-income strategies (Kerlin, 2006). In recent years, however, private foundations increasingly supported individual social entrepreneurs through education programs and grants (Kerlin, 2006). Meanwhile, in Western Europe, the forms rather than the volume or the share of government funding changed. European social entrepreneurial initiatives relied on a mix of public and private resources that varied according to the needs to be addressed and local contexts (Defourny & Nyssens, 2008).

If the entrepreneurial skills needed to acquire and sustain fee income, charitable contributions, government funding, investment income, and volunteer support differ, then the foregoing data suggest that social entrepreneurship capacities required for success in different parts of the third sector also vary. The implications for social entrepreneurship may be subtle, however, because the sources of support in the third sector not only overlap with business and government sources but also vary more widely than they do for government or business ventures. Moreover, the sources of support for new ventures may be different from the average patterns of support for third sector organizations in their particular fields of activity. Furthermore, venture support may vary over the life cycle of social enterprises to which social entrepreneurs devote themselves. Social entrepreneurs may thus require skills common to business sector and public sector entrepreneurs as well as various other skills that are distinct.

**Method and Cases**

The exploratory analysis that follows is based on a close reading of cases of successful social entrepreneurs. It examines how specific entrepreneurs approached the task of securing funding for their organizations. The principal funding sources were identified for each organization (see Tables 4 and 5), and a ranking of skills in order of importance for resource development was assigned for each case,
based on authors’ judgments (see Table 4). The analysis then compared the case-specific rankings and revenue sources to discern the skill sets needed for each funding source (see Tables 6 and 7).

The selected cases are varied both by field of service and by whether they are start-ups of independent organizations or ventures within existing organizations. They constitute a small and nonrepresentative sample, gathered from several recent published compilations that included both descriptions of entrepreneurial capacities and financial histories (i.e., Dorsey & Galinsky, 2006; Oster, Massarsky, & Beinhacker, 2004; Wei-Skillern et al., 2007; Wolk, 2008). (Where available, financial information from the literature was supplemented with 990 tax documents retrieved via GuideStar. We used this data only for general background and not quantitative comparisons, given the lack of universal availability and differences in the years when the selected cases took place. Hence, we do not report these numbers here.) In general, we sought to include as many published cases of social entrepreneurship as we could find that contained sufficient detail on the entrepreneurial skills at work and the financial foundations of the venture.

A close reading of each case revealed the unique entrepreneurial capacities that supported each venture. Table 4 offers a compact description of our case-by-case findings.

### Resources and Entrepreneurial Skill Sets

While our varied cases in social entrepreneurship are similar in many ways to entrepreneurship in the business sector, they also vividly illustrate some key differences with business entrepreneurship. While most cases do begin with the grit and determination of an entrepreneur willing to invest “sweat equity” in building the enterprise, few of these cases mirror the typical business scenario of private venture capital investment followed (hopefully) by the generation of a stream of sustaining earned income from market sales. Concomitantly, the entrepreneurial capacities required in these ventures vary considerably in the degree to which they emphasize marketplace skills, political and public sector skills, and skills of organizing and managing a formal organization. Table 5 offers a rough prioritization of the importance of these skill sets for each of the previous cases. (These rankings are based on the authors’ judgments following a close reading of the cases.)

A few patterns stand out in the table. First, philanthropy is by far the most common principal source of sustaining funding for the selected social enterprise ventures. Only 3 of our 14 selected cases depend principally for their sustenance on earned income. This is not to imply that these ventures are failures, but merely to say that there appears to be a serious misconception that social enterprise is just about earned income. Although these ventures generate substantial public benefits, they are generally not sustainable or best supported by the marketplace but rather by some combination of sources, among which philanthropy stands out.
### Table 4. Summary of Cases by Venture and Entrepreneurial Skills

<table>
<thead>
<tr>
<th>Nature of Venture</th>
<th>Case</th>
<th>Story</th>
<th>Skills</th>
</tr>
</thead>
<tbody>
<tr>
<td>Entrepreneurial literacy program for high-risk minority youth</td>
<td>National Foundation for Teaching Entrepreneurship (NFTE)</td>
<td>Founder Steve Mariotti mobilized a variety of donors including individuals, foundations, and nonprofit organizations to support students’ entrepreneurial activities.</td>
<td>Donor cultivation, grant seeking, relationship building</td>
</tr>
<tr>
<td>For-profit food company distributes all profits to social causes</td>
<td>Newman’s Own, Inc.</td>
<td>Founder Paul Newman earned profits in a competitive marketplace; charitable intent enhanced the company’s ability to leverage business partners and build customer loyalty and goodwill.</td>
<td>Marketing and branding, negotiation skills, business acumen</td>
</tr>
<tr>
<td>Organization builds playgrounds in low-income neighborhoods</td>
<td>Ka-BOOM!</td>
<td>Entrepreneur Darell Hammond garnered support from neighborhood stakeholders and corporations. He successfully managed multiple partnerships, a unique program, and organizational growth.</td>
<td>Vision articulation, coalition building, negotiation skills, business management skills, growth management, management</td>
</tr>
<tr>
<td>Employment training and placement program for at-risk youth</td>
<td>STRIVE (East Harlem Employment Service)</td>
<td>Founder Sam Hartwell mobilized support from charitable sources, especially foundations and corporations, secured government funds, and converted press attention into support for expansion of its model.</td>
<td>Grant seeking, public image development, navigating government programs</td>
</tr>
</tbody>
</table>

*Social Entrepreneurship and the Financing of Third Sector Organizations*
<table>
<thead>
<tr>
<th>Case</th>
<th>Nature of Venture</th>
<th>Story</th>
<th>Skills</th>
</tr>
</thead>
<tbody>
<tr>
<td>Triangle Residential Options for Substance Abusers, Inc. (TROSA)</td>
<td>Residential substance abuse treatment program</td>
<td>Entrepreneur Kevin R. McDonald was recruited to lead TROSA for his professional understanding of the therapeutic model on which TROSA was built, his business acumen, and his good community relations. He secured financial support from community and corporate sources.</td>
<td>Grant seeking, community fund-raising, negotiation, professional competence, developing public image and trust</td>
</tr>
<tr>
<td>ReServe</td>
<td>Volunteer placement service for skilled retirees</td>
<td>Entrepreneurs Jack Rosenthal and Herb Sturz secured government contracts and philanthropic funding, growing the enterprise in response to a market demand for the services of older adult professional volunteers.</td>
<td>Negotiation skills, cultivation of donors and volunteers, grant seeking, navigating government programs, building on market opportunities, managing organizational growth</td>
</tr>
<tr>
<td>Independent Transportation Network (ITNAmerica)</td>
<td>Transportation service for seniors and the visually impaired</td>
<td>Founder Katherine Freund mobilized public sector funding; negotiated voluntary, cooperative, and business arrangements with partners; and devised a self-sustaining business model based on fees and significant levels of philanthropic funding and volunteer support.</td>
<td>Navigating government programs, negotiation skills, donor cultivation, grant seeking, marketing, business management skills</td>
</tr>
<tr>
<td>Nature of Venture</td>
<td>Case</td>
<td>Story</td>
<td>Skills</td>
</tr>
<tr>
<td>------------------</td>
<td>------</td>
<td>-------</td>
<td>--------</td>
</tr>
<tr>
<td>Program to increase the numbers of high school students applying to college</td>
<td>College Summit</td>
<td>Founder J. B. Schramm was able to negotiate partnerships with school districts and colleges, raise grant funds from major philanthropic institutions, and secure substantial government funding.</td>
<td>Negotiation skills, navigating government programs, grant seeking, donor cultivation.</td>
</tr>
<tr>
<td>Nonprofit facility for artists, art organizations, and the public</td>
<td>Louisiana Art Works</td>
<td>Entrepreneur Shirley Trusty Corey negotiated commitments for support and approval at several levels of government; secured funding from corporations; created a business plan to accommodate public, cultural, and economic development goals; and managed substantial financial transactions.</td>
<td>Negotiation skills, navigating government programs, donor cultivation, business planning, financial management.</td>
</tr>
<tr>
<td>Two public charities and a for-profit subsidiary that develops high-tech products for sale to underserved populations</td>
<td>Benetech</td>
<td>Entrepreneur Jim Fruchterman’s harnessed substantial charitable funding to supplement the sale of technology products and services designed for social benefit.</td>
<td>Grant seeking, marketing, business management skills.</td>
</tr>
<tr>
<td>Case</td>
<td>Nature of Venture</td>
<td>Story</td>
<td>Skills</td>
</tr>
<tr>
<td>------------------------------------------</td>
<td>-----------------------------------------------------------------------------------</td>
<td>-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
<td>-------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Mental Disability Rights International (MDRI)</td>
<td>Organization that advocates for human rights enforcement and the rights of people with mental disabilities</td>
<td>Eric Rosenthal used his professional familiarity with the clinical and legal nature of human rights violations to negotiate with governments, generate funding from concerned donors, and involve committed volunteers.</td>
<td>Vision, professional competence, negotiation skills, donor and volunteer cultivation, knowledge of government</td>
</tr>
<tr>
<td>Men on the Side of the Road (MSR)</td>
<td>Nonprofit organization that serves unemployed men in South Africa and Namibia</td>
<td>Entrepreneur Charles Maisel successfully negotiated to gain entree and cooperation in public and private sector workplaces and secured support from government, corporations, and private foundations.</td>
<td>Negotiation skills, navigating government programs, grant seeking</td>
</tr>
<tr>
<td>International Bridges to Justice (IBJ)</td>
<td>Legal aid and human rights advocacy for citizens of Asia</td>
<td>Founder Karen Tse convinced friends to join in her strong personal commitment of time and resources, secured resources from institutional philanthropy, and negotiated with governments.</td>
<td>Cultivation of donors and volunteers, grant seeking, negotiation skills, knowledge of government</td>
</tr>
<tr>
<td>Gay-Straight Alliance Network (GSA Network)</td>
<td>Youth leadership organization connects school-based Gay-Straight Alliances to each other and to community resources</td>
<td>Founder Carolyn Laub organized volunteer efforts, negotiated with schools and a network of voluntary groups, contracted with a nonprofit fiscal agent to provide official legal status, and secured philanthropic funding for operating costs and venture capital.</td>
<td>Volunteer and donor cultivation, negotiation skills, grant seeking, identification of contract opportunities</td>
</tr>
</tbody>
</table>
Second, the most common skill set for these social enterprises involves political skills such as coalition building, persuasion, and negotiation with key parties including volunteer groups, funders, government agencies and others. Market skills per se, including the ability to find market niches and promote products and services, which would tend to dominate in business entrepreneurship, generally take second place to these political skills, although these ventures commonly start with an intuitive and well-conceived idea focused on some unmet social need. The ability to manage an organization and its stakeholders is also an important skill set in many of these ventures, although this does not seem to rise to the level of top priority in any one instance.

If we were to compare the results in Table 5 to a sample of conventional business sector ventures, the latter would tend to cluster on 1-3-2 as the dominant mode, emphasizing market, management, and political skills in that order and depending

Table 5

<table>
<thead>
<tr>
<th>Case</th>
<th>Market Skills</th>
<th>Political Skills</th>
<th>Management Skills</th>
<th>Principal Funding Source</th>
</tr>
</thead>
<tbody>
<tr>
<td>NFTE</td>
<td>3</td>
<td>1</td>
<td>2</td>
<td>Philanthropy</td>
</tr>
<tr>
<td>Newman’s</td>
<td>1</td>
<td>3</td>
<td>2</td>
<td>Earned income</td>
</tr>
<tr>
<td>Ka-BOOM!</td>
<td>2</td>
<td>1</td>
<td>3</td>
<td>Philanthropy</td>
</tr>
<tr>
<td>STRIVE</td>
<td>2</td>
<td>1</td>
<td>3</td>
<td>Philanthropy</td>
</tr>
<tr>
<td>TROSA</td>
<td>1</td>
<td>3</td>
<td>2</td>
<td>Earned income</td>
</tr>
<tr>
<td>ReServe</td>
<td>3</td>
<td>1</td>
<td>2</td>
<td>Philanthropy</td>
</tr>
<tr>
<td>ITNAmerica</td>
<td>2</td>
<td>1</td>
<td>3</td>
<td>Philanthropy</td>
</tr>
<tr>
<td>College Summit</td>
<td>2</td>
<td>1</td>
<td>3</td>
<td>Philanthropy</td>
</tr>
<tr>
<td>Louisiana Art Works</td>
<td>3</td>
<td>1</td>
<td>2</td>
<td>Government</td>
</tr>
<tr>
<td>Benetech</td>
<td>1</td>
<td>3</td>
<td>2</td>
<td>Earned income</td>
</tr>
<tr>
<td>MDRI</td>
<td>2</td>
<td>1</td>
<td>3</td>
<td>Philanthropy</td>
</tr>
<tr>
<td>MSR</td>
<td>2</td>
<td>1</td>
<td>3</td>
<td>Government</td>
</tr>
<tr>
<td>IBJ</td>
<td>2</td>
<td>1</td>
<td>3</td>
<td>Philanthropy</td>
</tr>
<tr>
<td>GSA Network</td>
<td>2</td>
<td>1</td>
<td>3</td>
<td>Philanthropy</td>
</tr>
</tbody>
</table>

Note. Skills are ranked in order of importance for resource development. A ranking of 1 denotes the most important skill set.
Social Entrepreneurship and the Financing of Third Sector Organizations

principally on earned income for operating purposes and retained income, borrowing, sale of equity, and venture capital funds for investment capital. Clearly, social entrepreneurship exhibits much greater variety as well as different central tendencies clustering around political skills and philanthropic funding. These patterns have not to date been systematically recognized or addressed in the (social) entrepreneurship literature.

Broadly speaking, to mobilize resources for their ventures, the social entrepreneurs in our cases operated in one or more of three different environmental settings: the economic marketplace, the political arena, and the world of charity and philanthropy. Indeed, these arenas overlaid one another; but they required somewhat different sets of entrepreneurial skills, including business skills associated with securing capital and selling products and services in a marketplace, political skills associated with garnering the support of various constituencies and stakeholders, and management skills associated with making wise and responsible use of the various kinds of resources needed to sustain ventures.

It is fair to say that entrepreneurs require a mix of these skills, no matter what sector they operate within. For example, a business entrepreneur obviously needs market skills, but political skills are also needed to secure necessary permissions, licenses, and perhaps even funding from government. That same business entrepreneur will need to ensure that resources are wisely and honestly spent and accounted for, and may also need to demonstrate good citizenship in the community—for example, by sponsoring a youth club, volunteering on a board, or heading a fund-raising campaign for United Way—to create an ambiance for business success.

By and large, however, the relative importance of market, business, and managerial skills is likely to be different for business versus social entrepreneurs because these groups rely on different sources of support for their ventures. Based on our general understanding of how resources are mobilized in the different sectors of the economy, from the literature and a review of our cases, Table 6 sketches out some of the differences in the nature and importance of market, political, and management skills associated with securing and utilizing the different kinds of resources. (The most important of these skills in each category, in our view, are highlighted in italics.) In our judgment, these three categories of skills are generic; but their manifestations and relative importance are likely to be different, depending on the nature of the resources social entrepreneurs require to support their particular ventures.

Table 7 is intended to capture the relative importance of the three types of skills by revenue source on a scale of 1 to 3, where 1 indicates the most important type of skills. The suggested rankings represent the considered judgment of the authors, based on conventional conceptions of the processes required to secure resources in the market, from government, or through philanthropy as well as on an overall review of the cases. Note that there is an imperfect correlation between the nominal rankings in Table 7 and the rankings of dependence on different
Table 6.
Alternative Entrepreneurial Skill Sets for Mobilizing Venture Resources

<table>
<thead>
<tr>
<th>Earned Income</th>
<th>Market Skills</th>
<th>Political Skills</th>
<th>Management Skills</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Venture capital acquisition from commercial and philanthropic sources, business planning, product marketing, and pricing</td>
<td>Cultivating relationships with business partners, suppliers, and investors; maintaining good customer and community relations; maintaining networks of colleagues and professionals within the industry addressed by the venture</td>
<td>Financial planning and management, maintaining workforce morale and productivity</td>
</tr>
<tr>
<td>Government Funding</td>
<td>Assessing political needs and opportunities; framing ideas and proposals; identifying grant, contract, and partnership opportunities; competing for grants and contracts</td>
<td>Cultivating relations with government officials and politicians, advocating for favorable legislation, maintaining a positive public image, developing a good reputation within industry and community</td>
<td>Adherence to government regulatory and reporting requirements, evaluation and performance assessment skills</td>
</tr>
<tr>
<td>Charitable Giving and Volunteering</td>
<td>Prospect research, grant writing, donor solicitation through annual and capital campaigns, cause marketing and branding, developing and projecting vision</td>
<td>Cultivating potential and current donors, cultivating volunteers, cultivating foundation and corporate officials, developing a favorable public image</td>
<td>Volunteer management, coordinating diverse performance assessment requirements, strategic and business planning, fund accounting</td>
</tr>
</tbody>
</table>
sources of income in our specific cases as portrayed in Table 5. Table 7 is intended to describe modal patterns from which some variance may be expected. Thus, individual cases vary with particular circumstances in which the dominant revenue source is just one important factor. Overall, however, the foregoing skill sets relate directly to the educational requirements for social entrepreneurs as distinct from business entrepreneurs, largely because the former are concerned with different mixes of all three sources of funds while the latter are primarily concerned with skills associated with earned income.

**Skills for Social Entrepreneurship**

If we juxtapose the diverse requirements associated with different funding sources (described in Table 6) with the variety of funding mixes exhibited by third sector organizations in different fields of service, it is tempting to prematurely conclude that social entrepreneurs require different skill sets according to the organizational circumstances of their ventures. However, this analysis must be further nuanced because it does not necessarily follow that the funding mix for a new entrepreneurial venture will mirror the funding mix of the organization or subsector in which the venture is embedded. In the first place, many social ventures take the form of new organizations that have no previous history of reliance on particular sources of income. Furthermore, entrepreneurial ventures emanating from established organizations are commonly activities at the margin that add incrementally to the preexisting programming of the organization in which they are undertaken. Hence, they are not necessarily intended to continue the existing pattern of programming and funding. Indeed, third sector organizations that are heavily dependent on a given type of revenue, say foundation grants, might specifically seek to pursue social ventures for the purpose of diversifying their revenue bases into earned income. Conversely, organizations heavily dependent on earned income might seek to diversify their revenue through philanthropic support. This was the case, for example, of the Steppenwolf Theater in Chicago, which began as an “edgy” performance group that supported itself solely on

---

**Table 7**

*Entrepreneurial Skill Sets Ranked by Order of Importance for Principal Revenue Source*

<table>
<thead>
<tr>
<th></th>
<th>Market Skills</th>
<th>Political Skills</th>
<th>Management Skills</th>
</tr>
</thead>
<tbody>
<tr>
<td>Earned Income</td>
<td>1</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>Government</td>
<td>3</td>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td>Philanthropy</td>
<td>2</td>
<td>1</td>
<td>3</td>
</tr>
</tbody>
</table>
ticket sales and the sweat equity of its founders. This social enterprise eventually grew by establishing a solid donor base to support itself as it evolved into a mature organization (Proscio & Miller, 2003). More generally, a recent study by Miller (2008) suggests that most individual nonprofit organizations have either one or two major revenue sources and that organizations funded by two sources tend to be financially healthier than those with only one source. A probable scenario is that organizations (like Steppenwolf) tend to start with one source and later acquire a second source. It is not clear which particular sources social entrepreneurs rely on to get started—this may vary by circumstances. It is clear, however, that ultimately many social entrepreneurs need to be well versed in the skills associated with acquiring and managing more than one source of resources to sustain their ventures.

Funding sources vary for social ventures within the same subsector providing similar services, and variation exists between individual organizations and the average funding mix for the field. For example, Cordes and Steuerle (2008) describe three entrepreneurial organizations within the human services field that provide similar services, specifically job training for at-risk populations. All three organizations rely on more than one source of revenues, and all receive earned income. Yet, each relies on a distinct funding mix different from the subsector average.

It seems fair to speculate that many if not most social entrepreneurial ventures are launched with the intent of developing strong streams of earned income. However, such ventures also need to raise venture capital, which is likely to derive from philanthropic sources; moreover, social ventures, even if successful in achieving mission-related goals, are not necessarily sustainable on the basis of market income alone. The only way to determine the required resource-related skill set is to examine the financial underpinning of social enterprise ventures from their inception, relative to their parent organizations if they are launched in this way, and in the context of the fields of service in which they arise. Moreover, as suggested earlier, the organizational life cycle of a social venture is likely to influence the funding mix and hence the requisite entrepreneurial skill sets.

Indeed, one suggestive, preliminary study in Ontario, Canada, by Dart, Armstrong, and Clow (2008) finds that so-called social purpose businesses depend very little on earned income and in fact struggle to obtain their main source of sustenance, government grant funding. This result may not be surprising in the Canadian context. However, the dependence of social enterprise on other than earned revenue, and hence the requirement that social entrepreneurs be skilled in securing nonmarket sources of revenue, is a more general phenomenon not yet fully appreciated or adequately researched.

Education for Social Entrepreneurs

In some ways, social entrepreneurship is no different from business entrepreneurship—both are varieties of entrepreneurship generically defined as establishing a programmatic or organizational venture that offers something
new and pathbreaking. All entrepreneurship involves certain elements, skills, and motivation. However, social enterprises develop in different economic contexts and for different purposes than new business ventures. Their sources of support both in terms of initial capital investment and long-term operating income are likely to be quite varied and only rarely exclusively reliant on conventional investment capital or a sustaining level of earned revenue from marketplace sales.

The fact that the third sector environments in which social enterprises develop are themselves quite varied in terms of sustaining sources of income argues either that social entrepreneurs require a wide range of business, philanthropic, and government-related skills and/or that they need to become specialized to the particular subsectors in which they work. As indicated in the descriptions in Table 4, the latter may hold to a certain degree because social entrepreneurs often begin with an insight built on special knowledge, experience, and expertise in their chosen fields of service. However, it also appears that most social entrepreneurs need to be conversant with more than one institutional source of support—usually some combination of earned income, philanthropy, and government funding—and volunteer effort.

The case studies reviewed here suggest a surprising result: that philanthropy, not earned income, may be the principal sustaining source for contemporary social enterprise ventures, even though philanthropy is generally less important than earned income or government support in the nonprofit sector as a whole. The case studies summarized here are not a representative sample, and not too much confidence should be put into this observation. A definitive, representative sampling and study of social enterprises has yet to be made in the United States or elsewhere. Still, if the foregoing pattern is anywhere near the truth, it suggests some interesting explanations. First, like new businesses, new social ventures have a difficult time surviving in the marketplace. Yet they often achieve or promise important social benefits. Hence, providers of philanthropic capital help keep them going until they can mature into self-sustaining organizations. Second, those social benefits cannot often be sustained in the marketplace alone; even in the long term, social enterprises are likely to depend on a mix of income sources—earned income supplemented with philanthropy, government support, investment income, and volunteer labor.

What are the implications of this result for the education of social entrepreneurs? Today, essentially two contemporary versions of graduate education are addressed to the future social entrepreneur. Some would-be social entrepreneurs study in business schools, for example, MBA programs with an emphasis on commercial entrepreneurship education. Increasing numbers of such students hope to establish their own “social purpose businesses” that combine material and social goals. Other would-be entrepreneurs are being educated in programs of nonprofit management education, many hoping some day to establish or lead their own nonprofits. If
the preliminary observations of this paper hold true, then neither of these educational approaches appear to be sufficiently comprehensive.

The literature on entrepreneurship education focuses heavily on the need for greater rigor as well as the basic questions of whether and how entrepreneurship can be effectively taught (Green, Katz, & Johannisson, 2004). Quoting the Academy of Management website in June 2004, these authors note that major topics in academic study of entrepreneurship include “new venture ideas and strategies; ecological influences on venture creation and demise; the acquisition and management of venture capital and venture teams; self-employment; the owner/manager; management succession; corporate venturing and the relationship between entrepreneurship and economic development” (p. 238). The typical program of entrepreneurial education in business schools emphasizes market and business management skills—finance, marketing, strategy, and so on—synthesized in the context of a business plan (Hisrich, 2009). Courses include a general introduction to entrepreneurship, business planning, entrepreneurial marketing, and entrepreneurial finance as well as various venues for entrepreneurship including international entrepreneurship, family business, intrapreneurship (corporate venturing), and indeed social entrepreneurship. The focus of these curricula tends to be individual business owners in the process of starting and operating their own growth-oriented businesses (J. Young, 1997). According to J. Young (1997, p. 222), citing Hood and Young (1993):

Formally constructed entrepreneurship education…is concerned with the conveyance of entrepreneurial knowledge and developing the focused awareness that precludes flawed thinking, as it relates to opportunity recognition and the creation of new ventures, as well as pursuit of such opportunities through the subsequent profitable growth of businesses. (emphasis added)

Finally, it is fair to say that there is controversy in the educational community as to whether social entrepreneurship needs to be taught any differently than business entrepreneurship. Accordingly one expert, George Gendron (2004), notes:

Schools in general are trying to figure out how to respond to this, and at one end of the spectrum you have schools that basically say you know, that the traditional MBA tool kit applies….At the other end of the spectrum you have schools that are building out specialized educational programs for social entrepreneurship. Are there special sets of skills that people need who are thinking of going out and starting what we euphemistically call these new nonprofits where they want to have a social impact, but they also want to manage their business and financial affairs in a more intensive way than prior generations? (p. 311)
Our answer to that question is basically yes. While there is no question that social entrepreneurs require the generic entrepreneurial motivations and business skills for which they are respectively selected and taught in business schools, it also the case that social entrepreneurs must be conversant with philanthropy, government, and volunteerism and the skills required to successfully negotiate those institutions. These are areas of expertise now emphasized in the hundreds of programs in nonprofit management education that have developed in U.S. universities, largely in schools of public administration (Mirabella & Wish, 2001).

In some ways, social enterprise and social entrepreneurship are nothing new—perhaps a repackaging of the entrepreneurial energies that have long characterized social purpose initiatives in the nonprofit sector of the economy in the United States and in other third sector manifestations (such as cooperatives) elsewhere in the world. What is new, and seemingly naive, is the notion that business forms can supplant these traditional manifestations (Edwards, 2008) and achieve their goals through profitable earned income activity. No doubt the business entrepreneurship tradition has brought new energy to the field of social purpose enterprise, but business education per se falls short of what is needed to prepare the new social entrepreneurs. A more considered perspective would recognize that social purposes ventures are more complex than pure business ventures and require the knowledge that can be brought to bear by combining business entrepreneurship and nonprofit management education.

Footnote
1 This paper is based on a presentation to the conference on Social and Solidarity-based Economy: New Practices and Territorial Dynamics, Nantes, France, September 29–30, 2008.

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Social Integration and Academic Outcomes: The Case of an International Public Policy and Management Program

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Adventist Community Hospital, Hanford

Joanna Yu
University of Southern California

Abstract
In this paper, we use survey data from an international public policy and management program within a large private U.S. university to study sociocultural and academic adjustment of the students, how this is affected by the structure of the program, and its effects on their academic performance. We focus on factors that affect students' ability to socially integrate successfully during their time in the United States for higher education and attempt to determine if this social integration translates into better academic outcomes.

Increasing globalization has wide-ranging effects on educational programs and student recruitment for higher education. Universities are a microcosm of global changes. It has become common to have large numbers of international students in universities across the United States. Leading universities are recognizing the importance of designing effective programs for international students (Yergin, 2002). International students as a percent of all students enrolled in higher education in the United States has increased from 2.8% in 1985 to 3.9% in 2007, and international student enrollment in the United States increased by 3.2% from 2006 to 2007 (IIE, 2007). International students make valuable economic contributions to U.S. universities; the net contribution to the U.S. economy by
Foreign students and their families in 2006–2007 was $14.5 billion (IIE, 2007), and they also contribute educationally by adding diversity to U.S. campuses.

Further, international students in American universities also act as ambassadors of American culture and values when they go back to their native countries. International students play leading roles in their areas of work and also have influential roles in their respective countries and thus drive public opinion about the American culture and living in different countries around the world (Chen, 1950; Sandhu, 1994).

A number of challenges are involved in the design and management of programs to effectively serve a growing segment of international student populations at U.S. universities. International students on U.S. campuses face unique problems when compared to domestic students. They encounter both academic and social adjustment difficulties (Senyshyn, Warford, & Zhan, 2000; Tomich, McWhirter, & Darcy, 2003). The academic system in the United States is new and sometimes confusing to these students, and language and communication issues can also create academic adjustment problems (Andrade, 2006). Students are expected to communicate and write according to the norms and views of American faculty members, and these may not necessarily be the views they were raised with; hence, they face frustration and adjustment difficulties (Trice & Yoo, 2007). In addition, students are far from their families and homes and so are unable to use this support system effectively.

Students from parts of the world where English is not the first language are forced to communicate in and learn English while studying in the United States (Collier & Powell, 1990; Johnson, 1997). Additionally, they must adapt to a new social culture with demands that sometimes compete with their own values and academic needs (Ladd & Ruby, 1999; Luzio-Lockett, 1998; Myburgh, Niehaus, & Poggenpoel, 2002). Universities in different countries display wide differences in educational styles. These differences in values are deeply rooted in the social and cultural characteristics of the nations in which they are located and operate (Kragh & Bislev, 2005). The transition issues faced by students when they move from one level of education to the other, such as from undergraduate to graduate education, are heightened for international students on U.S. campuses because they confront difficulties in adjusting to a new technique and culture of education. Most of these students have attended universities and schools that emphasize learning through passive classroom teaching, delivery of content through straight lectures, and rote memorization (Jochems, Snippe, Smid, & Verweu, 1996). On the other hand, education in U.S. universities emphasizes applied learning, discussions, group exercises, active debate and reasoning, and out-of-class learning through projects, research, and problem solving.

To maximize the benefits of having international students on campus, it is important for the universities that recruit international students to ensure a system structured to meet the special needs of an international student body.
Both well-structured and targeted social integration activities and a curriculum designed specifically for international students may enhance the social and learning experiences of international students on U.S. campuses. Further, international students need help to learn how to apply concepts learned in classrooms to situations that they might face in their own work environment when they return home.

This paper examines a master’s degree program within a large private U.S. university that is comprised mainly of international students. The university recruits international students in high numbers from across the globe and has some programs that solely focus on providing education to international students. The program studied in this paper has a curriculum designed specifically to meet the needs of an international student body. In addition, the program organizes activities that are particularly aimed at helping to ensure the sociocultural integration of students. A survey, along with supplemental data, was used to identify and explore social integration issues by international students and to assess the effectiveness of the program in facilitating sociocultural integration of the international students and to examine whether successful integration translates into better academic outcomes.

Description of the Program

The program being studied offers an intensive master’s degree in International Public Policy and Management (IPPAM). The curriculum is designed to meet the needs of participants mainly from Pacific Rim countries and U.S. students who wish to work in the Pacific Rim. Customized courses identify critical problems in the Asian region and provide participants with the managerial and analytical expertise to design, implement, and evaluate policies and programs that address these problems. The 13-month master’s degree in public policy and management is designed for participants working in the social sectors: health, population planning, urban and regional planning, education, communication, and nonprofit management. Students in the program come from a wide range of cultural backgrounds and academic interests. Most students have previous work experience in the public sector, while others have achieved positions in private companies or nonprofit organizations. Each year, approximately 40 students enroll in the program.

Targeted Supplemental Instruction in the Program

Targeted social and academic support is provided to international students to help them overcome their initial adjustment issues. Research has shown that universities that recruit international students should provide better support and additional opportunities for international students to enhance their learning experience (Harmon, 2003; Kennedy, Rushdi, & Willis, 2000; Kyvik, Karseth, & Blume, 1999; Trice & Yoo, 2007). Based on this concept, the program offers services designed to enhance the opportunity for academic success, the development of applied skills, and enjoyment of cultural and recreational activities in the
United States. The program enables students to learn about the issues in their countries by using data and research from their own countries. It embraces a global perspective to meet the needs of international students with a focus on the social sectors and the intersection of government, business, and social services.

**Preparation, review, lecture, and application model.** Small study groups, facilitated by a doctoral student, are organized in conjunction with the core courses to provide participants an opportunity to review and apply material for each class. The study groups first review and discuss in advance the material that will be covered in an upcoming lecture. These pre-lecture sessions, or prep sessions, not only force the students to read course materials and be prepared for the class but also give them a chance to discuss other problems that they might face such as language barriers and minor concept-related issues. Next, students attend the lecture. Finally, a review session is conducted and attended by all students from different countries, where the material for the week is discussed and applied to their home countries.

**Group projects.** The program incorporates several group projects into the core courses each semester. These projects require considerable academic discussion. This program utilizes doctoral students who function as teaching assistants (TAs) to mentor students and guide small groups through the process of completing several large projects throughout the year. The TAs also provide guidance and feedback on student theses. The TA-student interactions provide an opportunity for students to formulate and articulate their thoughts, debate with others, build critical reasoning skills, and learn how to persuade others.

**Academic enrichment activities.** Academic enrichment activities organized by the program include seminars with prominent speakers from students’ home countries, seminars sponsored by other programs within the university, or outside organizations (e.g., public policy think tanks, the Asia Society), conferences, and symposiums within and outside the university campus, and meetings with foreign government officials visiting the program for short-term training.

**Targeted Logistical and Social Integration Activities**

A program staff team is organized to help incoming students upon arrival to arrange airport pickup, conduct an apartment search, open a bank account, apply for a cell phone and a driving license, purchase a car, and coordinate spouse or dependent issues. In addition, a central international student office within the university offers these services and guidance throughout the academic year. A mentor-mentee system has been set up by the program in which volunteers from the current student body work as mentors for incoming students to prepare and guide them through the sociocultural and academic issues as well as resource search techniques. These mentee-mentor relationships sometimes extend much beyond the graduate student tenure and help the students in building social and professional networks. Students also have an opportunity to be a part of a seven-member student senate organization. This senate consists of members
Social Integration and Academic Outcomes

from different nationalities and is responsible for organizing academic and social events, sports and recreational activities, career placement meetings, and student activity event announcements. After graduation, this student senate also helps coordinate alumni activities.

The program arranges for social enrichment activities of interest within the school or campus in the Los Angeles area and some even outside Los Angeles. Activities are designed to facilitate social integration and team building; they may include museum visits, picnics, team-based sporting events such as basketball and volleyball, recreational sports such as skiing, participative performance events such as an annual talent show, and networking events such as social get-togethers with local alumni to exchange career advice and other social events with staff and students. The program also schedules joint activities with other international programs on campus, such as master’s degree programs for international business students or international law students.

Study Objectives

In this paper, we use survey data from an international public policy and management program within a large private U.S. university to study sociocultural and academic adjustment of the students, how this is affected by the structure of the program, and its effects on their academic performance. We focus on factors that affect students’ ability to socially integrate successfully during their time in the United States for higher education and attempt to determine if this social integration translates into better academic outcomes. Previous literature has primarily focused on academic and psychosocial stressors, learning styles, and social adaptation of international students. Earlier studies of international students found academic stress to be a function of cultural distance, self-perceived English-language skills, students’ social support network, academic and problem-solving skills, and role competencies (Johnson & Burdett, 2010; Wan, Chapman, & Biggs, 1992).

Our study explores factors that encourage or inhibit social and academic adjustment among international students and determines whether they are interrelated. We based the conceptual background of our study on previous work in intercultural communication competence (Lewthwaite, 1996; Redmond & Bunyi, 1993), which is seen as a composite of communication skills, knowledge of host culture, language competence, adaptation (mainly determined by interpersonal flexibility, adapting to different points of view, suspending judgments, and the like), communication effectiveness, and social integration (ability to initiate assimilation into the social or relational network). Study findings should be relevant to schools that heavily recruit international students for advanced education and also have potential education policy implications for the U.S. education system, which is increasingly involved in dealing with and teaching for a diverse and international group of students at various levels of education.

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Data and Methods

Our core data come from a survey administered to two cohorts of students in the program ($N = 90$). A total of 84 students completed the survey, for a 93% response rate. Students were asked to complete the survey after they had been in the program for approximately 10 months. The survey included a wide range of questions regarding each student’s social interaction and integration and their academic experiences during their time in the program. The response range for most questions was from 1 through 7, where 1 indicates “strongly disagree” and 7 indicates “strongly agree.” As part of the survey, students were asked questions about their social and academic experience at the university, their previous cross-cultural experiences, if they had lived in countries other than their home country, and if they attended international schools. Previous studies have reported on obstacles to integration as being loneliness, mismatch of culture, and irritation with aspects of their host culture; they identified the greatest block to adaptation as the lack of intercultural communicative competence (Lewthwaite, 1996).

To assess student’s social integration during their time in the program, students were asked if they had problems in making friends, if they experienced loneliness while in the United States, and if they made friends with American students and students from other countries; they were also asked to share their perceptions about making international friends and forming networks. Some of the questions were repeated with different time frames (at the beginning of the program and 6 months later) to measure changes over time. For example, students were asked how easy it was for them to make friends when they first entered the program and then again after they had been in the program for 6 months. They were also asked questions on other issues such as motivation and study habits, academic acculturation, reasons for applying and pursuing education at this particular program, and availability of academic support, orientation, and a web-based instruction system.

The survey data were supplemented with data drawn from admissions and enrollment data records and included variables such as country of origin, background information from student applications such as each students’ prior international exposure, undergraduate grade point average (GPA), Test of English as a Foreign Language (TOEFL) scores, and graduate education academic outcome as measured by final GPA upon graduation from a program. These different data sets were merged into a single analysis file using student ID numbers; student names were deleted. TOEFL scores were used as a measure of the students’ English-language proficiency. All data sets were merged to measure social integration and academic performance, and they were analyzed using a combination of descriptive, correlation, and multivariate regression analyses. Depending on which variables are being analyzed, the sample size ranges from 80 to 90, since not all students answered all questions on the survey.
Results

Sample Characteristics

Table 1 presents the breakdown of the sample of students based on their countries of origin and selected characteristics. For presentation purposes, students from different countries are grouped based on similarity of culture and/or language or economic development of their home country. Most of the students report

Table 1.
Characteristics Students Included in the Survey

<table>
<thead>
<tr>
<th>Country</th>
<th>Total</th>
<th>Taiwan/China</th>
<th>Korea/Japan</th>
<th>Indonesia/Thailand</th>
<th>U.S./Canada Permanent Residents</th>
</tr>
</thead>
<tbody>
<tr>
<td>Students (No.)</td>
<td>90</td>
<td>50</td>
<td>9</td>
<td>13</td>
<td>18</td>
</tr>
<tr>
<td>Students (%)</td>
<td>100%</td>
<td>56%</td>
<td>10%</td>
<td>14%</td>
<td>20%</td>
</tr>
<tr>
<td>Visited other countries*</td>
<td>82%</td>
<td>90%</td>
<td>89%</td>
<td>46%</td>
<td>83%</td>
</tr>
<tr>
<td>Lived in other countries*</td>
<td>40%</td>
<td>28%</td>
<td>33%</td>
<td>46%</td>
<td>72%</td>
</tr>
<tr>
<td>Studied in international school*</td>
<td>22%</td>
<td>18%</td>
<td>33%</td>
<td>31%</td>
<td>22%</td>
</tr>
<tr>
<td>One parent worked in other countries*</td>
<td>19%</td>
<td>18%</td>
<td>11%</td>
<td>46%</td>
<td>6%</td>
</tr>
<tr>
<td>Worked for a public policy organization*</td>
<td>68%</td>
<td>72%</td>
<td>44%</td>
<td>92%</td>
<td>50%</td>
</tr>
<tr>
<td>Worked in a management position*</td>
<td>50%</td>
<td>48%</td>
<td>33%</td>
<td>77%</td>
<td>44%</td>
</tr>
<tr>
<td>TOEFL average score*</td>
<td>580</td>
<td>579</td>
<td>578</td>
<td>611</td>
<td>623</td>
</tr>
</tbody>
</table>

* This information relates to before starting graduate studies at the program of study.
coming from a broad mix of Pacific Rim countries (80%). In fact, this percentage is higher since many of the students coded as permanent residents or U.S. citizens actually resided outside of the United States for all or most of their lives before entering the program. However, more than 80% of students have either lived in or visited other countries before starting their graduate education in the United States, which should contribute to their easier adjustment to a new culture. However, only 20% of the students have attended an international school before starting their graduate education, which provides an indicator of the degree of academic culture and transition issues that most of the students might experience when they first enter a completely new system of education.

Table 2 shows the distribution of survey responses related to selected program characteristics designed to improve communication skills and learning style.

Table 2.
Program Structure, Social Integration, and Learning Effectiveness (N = 84)

<table>
<thead>
<tr>
<th>Study Groups and Group Projects</th>
<th>Agree</th>
</tr>
</thead>
<tbody>
<tr>
<td>Working on group assignments helped me make friends.</td>
<td>82%</td>
</tr>
<tr>
<td>Doing group work motivates me to work harder.</td>
<td>73%</td>
</tr>
<tr>
<td>Interacting with other international students has helped improve my English.</td>
<td>73%</td>
</tr>
<tr>
<td>I feel I can communicate in English much better than when I first joined IPPAM.</td>
<td>68%</td>
</tr>
<tr>
<td>I feel that I haven’t had the chance to meet students in other programs because IPPAM students take too many classes together.</td>
<td>76%</td>
</tr>
<tr>
<td>After graduation, I hope to stay in contact with the friends I made at IPPAM.</td>
<td>92%</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Classroom Discussion and Program Rigor</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Participating in class discussions helps students learn more.</td>
<td>87%</td>
</tr>
<tr>
<td>My learning style has improved since coming to IPPAM.</td>
<td>73%</td>
</tr>
<tr>
<td>I can get a good grade on the tests, even if I do not attend all the classes.</td>
<td>23%</td>
</tr>
</tbody>
</table>
Many studies have shown that communication effectiveness, perceived communication effectiveness, and language competence are important determinants of students’ ability to socially integrate and overcome cross-cultural barriers (Redmond & Bunyi, 1993; Wan et al., 1992). Most of the students felt better about their communication skills, especially in English; felt that group work and class participation helps them learn more; and felt confident about their ability to work in groups or with other students. However, most of the students also felt that they take too many classes together with other international students, which constrains them from interacting with other students in the school. These findings provide some guidance for curriculum and program design.

Earlier studies on social integration in different contexts, such as international ethnic communities, international students, and disabled students and individuals, have by definition focused on friendship networks as measures of social integration that in turn are interrelated with social competence, social support, and interpersonal characteristics (Haring & Breen, 1992). Socially integrated students should feel less lonely, more confident about their presence in the American society, and able to make friends relatively easily, especially after spending a few months in the United States.

Table 3 provides survey findings related to social interaction when students first enter the program and how they felt after 6 months in the program. In general, after 6 months in the program students were less dependent on their friends back home and had become more integrated into the social framework of the university. However, one-fifth of students still experienced loneliness and felt “looked down upon” by Americans when they took the survey after 6 months in the program.

Table 3.
Isolation and Social Interaction Over Time (N = 84)

<table>
<thead>
<tr>
<th></th>
<th>Start of Program</th>
<th>After 6 Months</th>
</tr>
</thead>
<tbody>
<tr>
<td>I experienced much loneliness while at USC.</td>
<td>28%</td>
<td>20%</td>
</tr>
<tr>
<td>I found it easy to make friends at USC.</td>
<td>64%</td>
<td>80%</td>
</tr>
<tr>
<td>I missed my friends in my home country.</td>
<td>63%</td>
<td>43%</td>
</tr>
<tr>
<td>I feel that Americans look down on me because I am a foreigner.</td>
<td>NA</td>
<td>22%</td>
</tr>
</tbody>
</table>
To explore each student’s academic performance in the graduate program (graduate GPA), we developed a multivariate regression model to regress graduate GPA on factors that involved their previous academic standing (undergraduate GPA) and fluency in English language (TOEFL score) as well as other factors that were a direct or indirect measure of social integration (such as ability to make friends), previous cross-cultural experiences, and social isolation (such as feelings of loneliness), to mention a few. Table 4 provides the results of multivariate regression to explore the relationship between academic performance and various student and program characteristics. Several of the factors in the model are statistically significant. The largest statistically significant and positive coefficient in the model relates to previous cross-cultural experience in the form of visiting other countries before starting their graduate education in the United States and is associated with a 0.19-point increase in graduate GPA. Undergraduate GPA was also positive and significantly associated with a higher graduate GPA. Surprisingly, the TOEFL score had no significant relationship to academic performance.

As to the relationship between social isolation and integration, one interesting finding relates to the role of ease of making friends while at school. Students who found it easy to make friends in the program had a higher overall graduate GPA (0.087 higher) while students who found it easy to make friends outside the program and in the broader student community tended to have significantly lower GPA scores. These findings suggest countervailing forces. Students who are able to make friends easily and socially integrate within the program have a better academic outcome; those making friends with American students and students outside the program had lower GPAs. This latter finding suggests that being too involved in social activities and in mixing with other students competes with students’ time for academic activities and hence predicts a lower GPA (–0.168 points).

Another factor that has a statistically significant relationship with graduate academic outcomes is lack of family encouragement for academic achievement (–0.099 points). Interestingly, most students in the program have financial support from their family; but some students are under pressure to finish quickly and return home to family businesses. Thus, there is financial support but not support for academic achievement. This finding suggests that students who receive little or no academic encouragement from family members tend to perform lower academically. Another interesting finding is a small, negative effect of English-language competency (measured as TOEFL score) on academic outcomes. The effect is very small; and though it is significant, it is contrary to what earlier studies have found regarding English-speaking competency and academic achievement. Previous research has suggested that better English proficiency leads to better academic outcomes for international students in U.S. universities (Kaspar, 1997). Finally, Table 4 also shows some other factors that we theorized to have an effect on academic outcomes but that had no statistically significant relationship with academic performance.
Table 4.
Multivariate Regression Analysis of Graduate GPA (dependent variable is graduate GPA; \( N = 84 \))

<table>
<thead>
<tr>
<th>Graduate GPA</th>
<th>Coeff.</th>
<th>Std. Err.</th>
<th>( P &gt; t )</th>
<th>[95% Conf.]</th>
<th>Interval</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Academic and International Experience</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Undergraduate GPA</td>
<td>0.197</td>
<td>0.094</td>
<td>0.04</td>
<td>0.01</td>
<td>0.39</td>
</tr>
<tr>
<td>TOEFL Score</td>
<td>−0.002</td>
<td>0.001</td>
<td>0.07</td>
<td>0.00</td>
<td>0.00</td>
</tr>
<tr>
<td>Previous cross-cultural experiences (visited other countries)</td>
<td>0.315</td>
<td>0.152</td>
<td>0.04</td>
<td>0.01</td>
<td>0.62</td>
</tr>
<tr>
<td>Friends and family think I am foolish to study in U.S.</td>
<td>0.050</td>
<td>0.042</td>
<td>0.24</td>
<td>−0.03</td>
<td>0.13</td>
</tr>
<tr>
<td>Lack of academic encouragement from family</td>
<td>−0.099</td>
<td>0.046</td>
<td>0.03</td>
<td>−0.19</td>
<td>−0.01</td>
</tr>
<tr>
<td><strong>Social Integration and Isolation</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Found it easy to make friends</td>
<td>0.087</td>
<td>0.044</td>
<td>0.05</td>
<td>0.00</td>
<td>0.17</td>
</tr>
<tr>
<td>Easily made friends with American and students outside the program</td>
<td>−0.168</td>
<td>0.053</td>
<td>0.00</td>
<td>−0.27</td>
<td>−0.06</td>
</tr>
<tr>
<td>Experienced much loneliness while in U.S.</td>
<td>0.053</td>
<td>0.058</td>
<td>0.36</td>
<td>−0.06</td>
<td>0.17</td>
</tr>
<tr>
<td>Group work and good grades motivate me to work harder</td>
<td>−0.038</td>
<td>0.047</td>
<td>0.42</td>
<td>−0.13</td>
<td>0.06</td>
</tr>
<tr>
<td>Missed friends in home country while in U.S.</td>
<td>−0.029</td>
<td>0.065</td>
<td>0.66</td>
<td>−0.16</td>
<td>0.10</td>
</tr>
<tr>
<td>Feel that Americans look down upon me</td>
<td>0.006</td>
<td>0.028</td>
<td>0.83</td>
<td>−0.05</td>
<td>0.06</td>
</tr>
<tr>
<td>Constant</td>
<td>3.472</td>
<td>0.566</td>
<td>0.00</td>
<td>2.34</td>
<td>4.60</td>
</tr>
</tbody>
</table>
These include feelings of loneliness while in the United States, motivation to work harder through group work or good grades, missing friends in the home country, and feeling that Americans look down on them.

**Discussion**

Our study empirically confirms some but not all previous findings about international student academic and social performance in U.S. universities. Even though we do reinforce some of the findings of previous research in this area, our study has some new findings that can potentially be helpful to international students as well as educational policy makers.

Consistent with the literature, we find that a substantial portion of students tend to face some form of sociocultural integration issues as reflected by their ability or inability to make friends and their perception of themselves from the American point of view. Students who have visited other countries and have supportive families tend to feel less isolated because they are more likely to be competent in cross-cultural communication due to their prior experiences. Our finding expands on other studies that have reported on obstacles to integration as being loneliness, mismatch of culture, and lack of intercultural communicative competence (Lewthwaite, 1996). On the other hand, students who feel that other students don’t want to work with them or that faculty look down on them, as well as those who face pressure from their families to join their family business after graduation, are more likely to be socially isolated and make friends with people of their own nationality. Also, students who attend social activities and perceive greater benefits from them and who feel that their English proficiency has improved over time during graduate education tend to be more socially integrated.

Previous cross-cultural experiences such as visiting other countries had a strong and positive effect on academic outcomes. In addition, making more American friends had a slightly negative effect on academic outcomes, even though the ability to make friends had a positive effect. This suggests that cross-cultural experiences during the time of higher education in U.S. universities for international students do not entirely translate into better academic performance, even though previous studies have found international students’ academic stress to be a function of cultural distance, self-perceived English language skills, students’ social support network, academic and problem-solving skills, and their role competencies (Wan et al., 1992). We also found that previous academic standing, which was measured as undergraduate GPA, is the second most important positive predictive factor for graduate academic performance.

Interestingly, the results related to family and social support for studying in the United States worked in conflicting ways. For example, the multivariate results show that students whose family and/or friends did not encourage their education in the United States actually tended to have a higher GPA. It may be that students worked harder to prove to their family and friends that the investment in a
U.S. education was worth it. Conversely, students whose family did not support their continued academic training at the master’s level had lower GPAs (–0.09), suggesting that the role of family support of continued academic training is an important factor in determining how students will perform. These students may have been under pressure to work in family businesses in their home countries, and perhaps this was a constant concern while they were away studying.

Somewhat surprisingly, the most important factor explaining student academic performance in the program was their prior experience in visiting other countries before beginning their educational experience in the United States. Further research is needed to better understand how this factor influences performance. It may be that prior international travel makes the adjustment to living and studying in the United States easier, providing less logistical and emotional drag on students and their ability to focus on academic achievement. Another interesting set of findings concerns the effects of isolation and integration on academic performance in the program. Students who made more friends outside the program had much lower GPAs (–0.19) after controlling for other factors, while students who felt lonely and isolated after 6 months in the program actually had higher GPAs. Again, more research is needed to better understand these dynamics. It may be that students with outside friends have more competition for their time and so spend less time studying and preparing for class. On the other hand, interaction with a broader set of friends may result in an even broader education for these students.

LIMITATIONS

Our study is limited by the sample, which includes two cohorts of the program being studied. A larger sample might provide the basis for more detailed statistical analysis. The TOEFL test score has been used as the measure of English-language proficiency. However, it is not clear whether this test measures the qualities necessary to complete a course of study in a foreign language successfully, because it does not measure all possible aspects of proficiency in a foreign language (Jochems et al., 1996). This, however, was the best available objective score for the English-language competency for our study subjects. We suggest the development of a more comprehensive measure in order to study English-language competency of foreign students.

CONCLUSION

In this study, we focus on two cohorts of graduate students in a U.S.-based international public policy and management program to explore issues related international student social isolation and integration and what programs features might do to improve student well-being and academic performance. Specifically, the program is designed to train international mid-career professionals and provides academic and social support to help students overcome the challenges that international students typically face in a new educational culture. We used
a survey as a tool to measure the success of the program and to study the social and academic integration factors for the students enrolled in this program, and we also studied social integration in relation to graduate academic outcome. Our study in many ways extends on previous research in this area and also has findings that require further in-depth analysis of international student experiences and success of programs in providing a well-rounded education.

We found that an important predictor of student well-being and academic performance in an international program is the students’ prior exposure to international living and/or schooling. Students who have faced social and cultural challenges before appear to adapt better in an international graduate program. We found that providing structured work groups and team projects facilitated learning and improved English communication. We also found that students who participate in social events feel more socially integrated, and those who feel that their English proficiency has improved while in the program tended to be more socially integrated. These two findings together suggest that U.S. programs that serve international students can structure their programs in a way that facilitates both social integration and improved academic achievement. Specifically, programs that build in social events can help students feel more connected to the program and less isolated and also help them improve their English at the same time. It also appears that it may be valuable to provide supplementary English instruction, which helps students better integrate socially and also improves their academic performance. However, it is important to note that despite additional support, social activities, and better student-teacher and student-TA contact at the program, we found that a substantial number of students still face social adjustment challenges after 6 months in the program. Finally, and perhaps most importantly, we find that social adjustment eventually affects academic outcomes.

References


Social Integration and Academic Outcomes


Social Integration and Academic Outcomes


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Advancing and Assessing Public Service Values in Professional Programs: The Case of the Hauptmann School’s Master of Public Affairs Program

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Abstract
The 21st century is a period of extraordinary change. This paper presents the case of the Master of Public Affairs (MPA) program as a values-based graduate professional degree program and argues that a values-based curriculum grounds students in public service values and provides key preparation as they assume their professional roles in changing times. While during the 20th century many public administration scholars eschewed values in favor of positivism, as we discuss, history has demonstrated that values (expressed and unexpressed) in public organizations have real social and political consequences of profound significance.

The Master of Public Affairs (MPA) program, housed in the Hauptmann School for Public Affairs, incorporates the traditional values of the field of public administration while embracing the school’s unique history. The values of democracy, common good, moral courage, human dignity, and leadership inspire trust in our democratic and social institutions. Drawing heavily on the World War II experiences of the founder of the MPA program, Dr. Jerzy Hauptmann, we recognize that these values are not only future oriented but timeless. HSPA integrates them into all aspects of the curriculum. These values are also reflected in the program’s assessment measures, allowing graduates to demonstrate proficiency in these areas as they complete the program.
We are living in what has been described as exponential times. The accelerating rate of global change is prompting structural alterations in civic and social institutions, leading to increased uncertainty and even political unrest. These changes are fueled in part by a number of factors, including (but not limited to) technological advances, demographic shifts in developed and emerging economies, climate change (Stern, 2006), transitions from the industrial age to a knowledge-based economy (Drucker, 1994; Reich, 1992; Rifkin, 1996), and globalization (Friedman, 2005). Reich (2007) describes an outcome of these changes as the replacement of democratic capitalism with supercapitalism, where we as investors and consumers excelled while we as citizens were somewhat diminished. Going further, Fareed Zakaria (2008, p. 2) describes what we are experiencing as the “third great power shift of the modern era” from the United States to the rest of the world. As Newcomer (2007) points out, during times of global changes it is important to “clarify core values in public service” (p. 12).

Awareness of an array of accelerating convergence of factors may prompt individuals to see themselves with a future that is increasingly unscripted (DiPadova-Stocks & Kenworthy, 2009) and difficult to predict or even manage. Today, key conditions of the past are not assumed to be reliable. For example, an individual who takes what is long held as appropriate action (earning a graduate degree as a radiologist) to achieve a desired outcome (a lifelong medical career in radiology) may be detoured by dynamics beyond his or her control (medical radiological services being outsourced to countries in Asia). These unforeseeable dynamics may make this individual’s expected outcome of a career in radiology impossible.

As Richard Sennett (1998) explains:

The short-term, flexible time of the new capitalism seems to preclude making a sustained narrative out of one’s labors, and so a career. Yet to fail to wrest some sense of continuity and purpose out of these conditions would be literally to fail ourselves. (p. 122)

In response to these changing conditions, many educators have come to reconsider the relevance of typical majors and programs in today’s dynamic employment and career environment.

Along with experiencing the uncertainties of unscripted times, many individuals may also develop an accompanying decline of trust in institutions (Blind, 2007; Hetherington, 2005) especially in democracies around the world (Blind, 2007; Uslaner, 2002). Global growth, fragmented institutions, and the instability of capitalism challenge the foundations of social capital, including loyalty and trust (Sennett, 2006). While concerns about trust certainly are not new (Lipset & Schneider, 1983), when combined with relentless changes, the effects of decline in trust may well be exacerbated.
It is clear that successful navigation in times of uncertainty requires a common bond, shared sense of community, social capital (Putnam & Feldstein, 2003), and trust in institutions. Public administration and governance occur within societal contexts, adapting according to associated dynamics while adhering to basic public service values such as integrity, representativeness, efficiency, and due process of law, as well as others. These basic values guard against the misuse of authority by those in responsible positions of public trust. When these basic values are not honored, mistrust takes root and social capital is further weakened. Thus, it is during times of accelerating change that public service values provide the framework for government action as well as the foundation for civil society and social stability.

Since common values are the keystone of public trust and public life, schools of public affairs and public administration are well positioned to equip students with the necessary tools to navigate the ethical and moral realities of public service. To do this, values must be recognized as a legitimate part of an academic curriculum because values (acknowledged or not) drive decision-making and are manifested as social and political consequences.

A shortcoming of management education is that typically programs do not prepare students “to deal adequately with issues of authority that accompany the positions our graduates are being readied to assume” (DiPadova-Stocks, 2005, p. 348). Professional education’s focus on theory and practice reflects the acknowledged need for both academic knowledge and competence in professional practice, or application. Sullivan (2005) adds the value set of the “ethical-social values of professional identity” (p. 28), although with regard to public management, Macaulay and Lawton (2006) argue that professional competence may well be part of professional identity values, or virtue. That said, this ethical professional identity is the most critical for addressing trust issues as well as the most elusive in graduate professional education. Effective management education programs likely are best defined by having values at the heart of their academic curricula, if the goal is to graduate professionals who are prepared to manage the complexities of authority in public service in a changing global society.

The Hauptmann School for Public Affairs acknowledges and embraces the importance of values in an academic program. It seeks to graduate students who are prepared to serve as leaders who act ethically and with moral courage. The school’s values find expression in the vision statement and other clearly defined expectations. For the Hauptmann School, the obligation to prepare students to act for the common good is not limited to the school’s domestic borders. The MPA program has students from approximately 25 countries, including the United States. Therefore, the school has assumed an international obligation to help students develop the moral compass they will need to lead in a global context.

As part of its commitment to a values-centered education, the Hauptmann School has integrated values into a competency-based MPA program. The vision
statement, program competencies, and course-level core learning outcomes reflect the established values of the field of public service (legal, democratic, professional, and personal/ethical) as well as the unique heritage of the program. The Hauptmann School openly acknowledges the values that form the foundation of its program. As Robert Dahl stated in 1947, “The student of public administration cannot avoid a concern with ends. What he ought to avoid is the failure to make explicit the ends or values that form the groundwork of his doctrine” (1947, p. 3). Program assessment measures also indicate that students are gravitating toward the values-based elements of the program and demonstrate proficiency in these areas when they graduate.

Values-based programs in schools of public affairs are not unique, and many MPA faculty offer values-based courses. A program’s espoused values may come from a number of sources such as a university’s religious affiliation. Like many small colleges, Park College (established in 1875) had religious roots; but now, as Park University, it is a private, nonprofit, nonsectarian institution that embraces people of all faiths. What makes the Hauptmann School’s MPA program distinctive is its curriculum, which reflects values derived from the experiences of the program founder—Dr. Jerzy Hauptmann, a native of Poland who, as a young man, served as a key participant in the Polish resistance to the Nazi Army. These public service values are historically grounded, tested in one of the most horrific eras of the 20th century.

**The Need for Values in Public Affairs and Public Administration Education**

The long-standing tension between facts and values in the social sciences was addressed by Max Weber (Bennion, 1933; Miller, 1963) among others and remains a point of tension that has been expressed in public administration. The roots of the debate over whether public administration is a science or an art can be traced back to the earliest works in the field of public administration. For example, in Woodrow Wilson’s 1887 seminal work, *The Study of Administration*, he asserted that “there should be a science of administration which shall seek to straighten the paths of government, to make its business less unbusinesslike, to strengthen and purify its organization, and to crown its duties with dutifulness” (1887, p. 201). Wilson, like other theorists during the Classical period of public administration, was a reformer responding to the corruption in government during the 1840s through 1870s (Fry & Raadschelders, 2008). Science was central to the reformers’ efforts: “To the reformers, ‘science’ became a campaign banner. It promised middle- and upper-class city residents, who were alienated from machine politics, nonpartisanship and neutral expertise as the new foundations of governing” (Stivers, 2008, p. 54). One of the most prominent adherents to the view that there should be a science of administration was Herbert Simon. In 1945, Simon asserted that “an administrative science, like any science, is concerned purely with factual statements.
There is no place for ethical assertions in the body of a science” (1945, p. 253). He argued:

To determine whether a proposition is correct, it must be compared directly with experience—with the facts—or it must lead by logical reasoning to other propositions that can be compared with experience. But factual propositions cannot be derived from ethical ones . . . since they assert “oughts” rather than facts. (1945, p. 46)

Simon’s position, however, did not go unchallenged by others in the discipline. In 1947 Robert Dahl advised that crafting a science of public administration is problematic because of the “frequent impossibility of excluding normative considerations from the problems of public administration” (1947, p. 1). Dahl’s skepticism was shared by Dwight Waldo, who stated in The Administrative State that “many administrative matters simply are not, by their nature, amenable to the methods of physical science” (1984, p. 178).

Decades later, the debate over the legitimacy of values in the social sciences and public administration has persisted. In the 1980s there was still a bias against normative judgments in the social sciences, and “many, if not most, researchers still feel there is something illegitimate about mixing value judgments with social science” (Keeley, 1983, p. 376). This bias against normative judgments is expressed in one’s choice of empirical research methods. Today, books and articles in the field of public administration in the United States show that “empirical research is overwhelmingly favored over questions of political theory, history, law, and so on,” and quantitative statistical research is favored over qualitative methods (Fry & Raadschelders, 2008, p. 350).

Despite the continued prominence of quantitative research, there is growing recognition that values have a place in the social sciences and in public administration education. The acknowledgment that values have a legitimate role in the social sciences is fueled, in part, by a renewed appreciation of the importance of values in public life. Barry Bozeman (2002) explains:

The notion of discovering essential public values seems somewhat out of place in theory environments which are dominated by postmodernism, relativism, or positivism; however, it is an approach that is completely consistent with liberal political philosophy and the philosophical cornerstones of the U.S. federal government’s framing documents. (p. 149)

Paula Gordon (2002) echoes Bozeman’s sentiments. Gordon (2002) identified the attacks on the United States on September 11, 2001, as a potential turning point for the role of values in public administration. She asserted that
“the increasing dominance of the values of value-neutral scientism has been at odds with the basic values present at the founding of the American experiment” (Gordon, 2002). However, she argued that the September 11 attacks “served to regalvanize and reawaken this set of core values,” which include “the valuing of life, health, freedom, and caring and concern” (Gordon, 2002). More recently, President Barack Obama emphasized the necessity of core values during times of change. In a May 21, 2009, speech at the National Archives, President Obama proclaimed:

If we cannot stand for our core values, then we are not keeping faith with the documents that are enshrined in this hall.

The Framers who drafted the Constitution could not have foreseen the challenges that have unfolded over the last 222 years. But our Constitution has endured through secession and civil rights, through World War and Cold War, because it provides a foundation of principles that can be applied pragmatically; it provides a compass that can help us find our way.

At the international level, the United Nations has acknowledged the practical importance of values by linking the core values of integrity, professionalism, and respect for diversity to a set of core competencies and managerial competencies for the UN staff (United Nations, 1999). In 1999, UN Secretary-General Kofi Annan stated:

It is my hope that the competencies will provide us with a common language for talking, in concrete terms, about high performance and managerial excellence. I believe that a shared view of the standards we are striving to achieve will assist us in our continuing efforts to prepare the Organization to meet the challenges of the twenty-first century. (United Nations, 1999)

Perhaps the underlying reason for the renewed recognition of the importance of values may be that, as history has shown, values have consequences for individual human beings, organizations, communities, and government policies. B. Z. Posner argues that “values matter” since “values are at the core of who people are. They influence the choices they make, the people they trust, the appeals they respond to, and the way people invest their time and energy” (2009). Values, or a lack thereof, can have far-reaching implications. Posner explains the pervasive influence that values have on an organization: “Values provide the foundation for the purpose and goals of an enterprise. They silently give direction to the hundreds of decisions made at all levels of the organization every day” (2009).
The pervasive influence of values in public policy is evident in Bozeman’s (2007) argument that public policy has been profoundly affected by the values of economic individualism and market efficiency. These values have led to the acceptance of the market failure model, which claims that the “the private sector is the best problem solver except in instances where market competition is flawed and prices are distorted” (Bozeman, 2007, p. 61). Clearly, economic approaches may not always be the appropriate answer to questions of governance and public value (Bozeman, 2002, 2007). Using the example of tobacco products, Bozeman explains that there are instances in which “the market is efficient because it fails to ensure public values” (2002, p. 157).

The costs of eschewing values in the private sector are evident in the Enron and WorldCom scandals, and in the global economic crisis that has been driven largely by greed (Lewis, 2010; Sorkin, 2009). Business schools and business students have responded with “more courses, new centers specializing in business ethics and, in the case of Harvard, student-led efforts to bring about a professional code of conduct” (Wayne, 2009).

Academic programs that prepare students for the private sector are not the only ones that must take responsibility for providing a values-based education. The public sector has also been plagued with scandals of its own (Minerals Management Service of the U.S. Department of the Interior, Abu Ghraib, and others). Thus Hugh Heclo asserts that “special care” must be given in the evaluation of institutions of law and government since the performance of these institutions “shape[s] the environment for sustaining or undermining the performance of all the other institutional orders in society” (2008, p. 154). Heclo acknowledges that both private and public sector institutions have earned the public’s distrust because of scandals and negligence, but he cautions that we should “distrust, but value” (2008, p. 45). Despite the failings of institutions, Heclo asks us to “think and act institutionally” (2008, p. 45). Thinking institutionally involves thinking beyond one’s self, and connecting to the values and purposes of an institution (Heclo, 2008). Recognizing that there are inherent dangers in thinking and acting institutionally, he acknowledges that “to think and act institutionally may be positive or negative depending on what ends are being served” (Heclo, 2008, p. 153). This observation adds salience to the need for value-based public affairs education, equipping graduates to build trustworthy institutions around the world.

History provides ample examples of organizations that have the hallmarks of being well managed, but produce devastating results for communities and for society when the goals are based on distorted values. Michael Keeley (1983) explains the consequences that resulted from embracing ill-conceived values in a goals-oriented, productive, and efficient system. Keeley describes how Albert Speer, Adolph Hitler’s Minister for Armaments and War Production, created an organization that was a “considerable success in terms of organizational goal attainment”; however, “his error was to fashion an organization that devalued...

The destruction of the Jews became procedurally indistinguishable from any other modern organizational process. Great attention was given to precise definition, to detailed regulation, to compliance with the law, and to record keeping. In other words, the modern, technical-rational approach to public service was adhered to in every respect. (Adams & Balfour, 2009, p. 48)

Because values in the practice of public administration have real consequences for individuals and communities, schools of public administration and public affairs must ensure that graduates understand not only public administration theory and practice but also the importance of public service values. Our graduates work in public service and are charged with representing the best of our democracy and founding values. Maintaining a framework of values in public service becomes increasingly difficult during times of change when established values, along with governing authority, may be challenged (Uslaner, 2002); it is precisely at these times that core values are needed for continuity, stability, and community building.

The Nature of Values and Public Service Values

Public administrators are charged with the task of “maintain[ing] values while meeting the need for change” (Cooper et al., 1998, p. 11). To address this challenge, public administrators must first determine which values are core values and which values are more peripheral. This assessment is especially difficult during periods of rapid transformation.

It is important that values serve as an anchor for society during times of change, yet remain fluid enough to allow progress to take place. Values researcher Milton Rokeach (1973) acknowledged that values must be both stable and malleable. For example, he highlighted the enduring quality of values by defining a value system as “an enduring organization of beliefs concerning preferable modes of conduct or end-states of existence along a continuum of relative importance” (Rokeach, 1973, p. 5). On the other hand, Rokeach also acknowledges the need for values to be dynamic. He explains:

If values were completely stable, individual and social change would be impossible. If values were completely unstable, continuity of human personality and society would be impossible. Any conception of human values, if it is to be fruitful, must be able to account for the enduring character of values as well as for their changing character. (Rokeach, 1973, pp. 5–6)
In the field of public administration, the tension between the ephemeral and enduring nature of values is reflected in two distinct perspectives on public value (Davis & West, 2009). One perspective, the generative perspective, “sees public value as being generated directly from deliberative processes in which principled public servants (elected and unelected) seek mandates for action” (Davis & West, 2009, p. 604); and “public value is constructed and unraveled through subjectivist interpretation and is thus ephemeral in nature” (Davis & West, 2009, p. 608). This approach is reflected in the works of Mark Moore and Gerry Stoker (Davis & West, 2009).

A second school of thought, the institutional perspective, attempts to define, order, and inventory public values that are manifest in institutions (Davis & West, 2009). This view stresses the enduring nature of public service values (Davis & West, 2009). The institutional approach draws on the work of Barry Bozeman, Torben Beck Jorgensen, and Kenneth Kernaghan (Davis & West, 2009). This article takes a decidedly more institutional approach to public values but acknowledges that there have been periods of marked changes in public service values as well as periods of stability.

Changes in public service values and public administration have frequently been associated with changes in politics. Zhiyong Lan and David Rosenbloom have argued that “historically major reorientations in American public administration have been associated with the rise of a dominant political faction, party, or movement embracing a relatively coherent ideology that viewed administrative reform as essential to the achievement of its political objectives” (1992, p. 535). They identify the Federalists, Jacksonians, Progressives, New Dealers, and the Civil Rights and Great Society movements as noteworthy examples of the connection between political change and new directions in public administration (Lan & Rosenbloom, 1992). These new directions in public administration have arguably influenced the core values expressed in professional public service. For example, in the early 1990s Lan and Rosenbloom (1992) identified the new values of cost-effectiveness, entrepreneurship, competition, quality, public choice, and personal responsibility as changes that may have occurred as a result of the market-based approach to public administration utilized by the Reagan and Bush administrations. However, major realignments such as the ones that took place as the result of the Reagan and Bush administrations in the late 1900s or the Progressives in the early 1900s are the exception rather than the norm. There is actually considerable stability in the public service values system. Past values influence the selection of future values (Davis & West, 2009).

The stability of values is evident in the public administration and public service value frameworks that have been developed by scholars, and there appears to be at least tacit agreement among practitioners and scholars on a set of contemporary public service values. For example, Kenneth Kernaghan (2003) defined four different categories of public-service values—ethical, democratic, professional,
and people—in his discussion of public administration values and their application in Australia, New Zealand, the United Kingdom, and Canada. Similarly, Lan and Rosenbloom (1992) outlined the core values of the “Public Administractive Clusters” of management, politics, and law in their assessment of the potential effects of market-based public administration in the early 1990s. Montgomery Van Wart (1996), in his evaluation of the American Society for Public Administration (ASPA) Code of Ethics, also identified five “value sets” that public administrators use in order to make decisions. These five include public interest, legal interest, personal interest, organizational interest, and professional interest. In 2007, Torben Beck Jorgensen and Barry Bozeman examined public administration literature between 1990 and 2003 in the United States, the United Kingdom, and Scandinavian countries in order to develop a universe of public values (Beck Jorgensen & Bozeman, 2007). More recently, the National Association of Schools of Public Affairs and Administration (NASPAA) has developed a set of public service values that include “pursuing the public interest with accountability and transparency; serving professionally with competence, efficiency, and objectivity; acting ethically so as to uphold the public trust; and demonstrating respect, equity, and fairness in dealings with citizens and fellow public servants” (2009, p. 2).

The five frameworks developed by these scholars have several commonalities. Some of the shared values include integrity, representativeness, effectiveness, efficiency, and due process of law, as well as many others. Based on these five typologies, there appears to be at least implicit agreement on the core values in the discipline of public administration and the field of public service. The values that appear in more than one of the five classification systems are summarized in Table 1 and have been placed into one of the four values categories: legal, democratic, professional, or personal/ethical; these categories do not necessarily align with those used in their original values frameworks. The similarities among the different values and their classification is a matter of interpretation, but the general consistency in public service values indicates that there may be some common ground that schools of public affairs and public administration can build upon when developing a values-based curriculum.

The Hauptmann School for Public Affairs Values-Centered Curriculum

At the Hauptmann School for Public Affairs, values are at the center of the curriculum. The concepts of democracy, respect for the common good, substantive rights, acting with moral courage, advancing human dignity, and leadership are all fundamental features of the school’s vision statement:

The Hauptmann School for Public Affairs will serve the common good by graduating leaders who exercise authority responsibly, make ethical decisions, act with moral courage, and advance human dignity worldwide.
The values expressed in the vision statement acknowledge that authority is fundamental to management and leadership positions in organizations and that this authority is heightened in public service positions, which are imbued with the authority of the State (see Table 2). Thus these values fit comfortably within the legal, democratic, professional, and personal/ethical values frameworks proposed by researchers and scholars in the field, while still capturing the uniqueness of the school’s heritage. In essence, the vision statement embodies the core values of the discipline and reinforces basic human values while reflecting the extraordinary personal experiences and moral convictions of the program’s founder, Dr. Jerzy Hauptmann.

Dr. Hauptmann’s life story and his personal journey personified the values of moral courage and commitment to the common good. As a young man, Dr.
Hauptmann was a “sewer rat” leading the Polish resistance to the Nazi invasion of Warsaw. Poland was devastated during World War II, losing over 15% of its population under Nazi rule. Hauptmann, a devout Lutheran, served time in prison and concentration camps. He witnessed firsthand the consequences of unethical decision making, misuse of authority by government officials and others, immoral acts, and gross disregard for the common good and for human dignity. He also recognized the importance of ensuring that values were the hallmark of an academic curriculum. Often remarking that Adolph Hitler could not have acted without the cooperation of the educated and professional classes, including attorneys, politicians, educators, physicians, dentists, public administrators, and chemists, he always cautioned, “Don’t forget the chemists!”

Although Adolph Hitler, as a democratically elected leader, and his followers provide an extreme example of how power may be perverted, abuses of power are not limited to a few historical anomalies. “The propensity to abuse power and authority has been widely acknowledged and accepted through the ages (see, e.g., James Madison, 1788)” (DiPadova- Stocks, 2005, p. 348). Schools of public affairs help students understand the nature of authority through courses that address the complex issues of power and relationships. The Hauptmann School seeks to achieve this goal through a more normative approach by utilizing a competency-based program that purposefully integrates values into the curriculum.

As demonstrated in Figure 1, values are featured in the Hauptmann School curriculum at three different levels—in the Hauptmann School vision statement, at the MPA program level, and in the individual MPA courses. As stated previously, the program’s vision is to “serve the common good by graduating leaders who exercise authority responsibly, make ethical decisions, act with moral courage, and advance human dignity worldwide.” This statement expresses the core values of the program—common good, moral courage, leadership, and human dignity.

<table>
<thead>
<tr>
<th>Legal</th>
<th>Democratic</th>
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<tbody>
<tr>
<td>Substantive Rights</td>
<td>Democracy</td>
</tr>
<tr>
<td></td>
<td>Common Good</td>
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<table>
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<tr>
<th>Professional</th>
<th>Personal/Ethical</th>
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</thead>
<tbody>
<tr>
<td>Leadership (Not in Table 1)</td>
<td>Courage (Not in Table 1)</td>
</tr>
<tr>
<td></td>
<td>Human Dignity</td>
</tr>
</tbody>
</table>

Table 2. Hauptmann School for Public Affairs MPA Values and Framework
Democracy and substantive rights are more indirectly implied, and are clearly part of the program’s values. Each of these principles forms a part of the program’s value system since each is “an enduring belief that a specific mode of conduct or end-state of existence is personally or socially preferable to an opposite or converse mode of conduct or end-state of existence” (Rokeach, 1973, p. 5).

At the program level, these values are articulated in three of the program’s eight core competencies. The eight MPA competencies are listed here; competencies 2 (democracy and citizenship), 4 (ethical decision-making and authority), and 6 (leadership) are considered the values-based competencies and are marked with asterisks:

1. Analyze the theoretical and practical underpinnings, knowledge base, and complexities of public affairs (as defined by the Hauptmann School).
2. * Justify responsibilities of professionals as citizens in a free and democratic society, and in the world.
3. Demonstrate a working knowledge of different sectors of society, how organizations are similar and different across sectors, and the contradictory expectations of managers and leaders in organizations.
4. * Demonstrate knowledge of ethical theory and the challenges involved in ethical reasoning and decision making, and show commitment to obligations as professionals in positions of authority.
5. Integrate theory/conceptual knowledge with practice, so that practice tests theory and theory informs practice.
Advancing and Assessing Public Service Values

6.* Demonstrate development of key leadership skills, including interpersonal and cross-cultural communication and teamwork.

7. Explain fundamental epistemology, including the benefits and limitations of various research designs and statistical methods.

8. Demonstrate ability to use skeptical inquiry and analytical skills to assess information and research findings.

At the individual course level, the three values-based competencies help guide the core learning outcomes in the majority of the required core courses. Only two courses in the required core curriculum do not include values-related core learning outcomes. These two courses are quantitative and qualitative research courses, which have learning outcomes that measure student ability to apply specific research methods and writing techniques. The qualitative course does contain academic honesty content that is normative in nature, but a values-related core learning outcome has not yet been developed to reflect this content. The specific linkages among conventional public service values categories (legal, democratic, professional, personal/ethical), the Hauptmann School values, the MPA program core competencies, and the core learning outcomes for individual courses are outlined in Table 3.

Due to the importance of the values and core competencies in the MPA program, students are required to demonstrate proficiency in the MPA core competencies on both their written and oral comprehensive examinations at the end of their degree program. For example, the vision statement is addressed on the comprehensive exam. In addition, the program has linked all of the written comprehensive examination questions to specific competencies in order to assess student performance on the competencies and to ensure that most of the competencies are being addressed by the students in either the written or oral comprehensive examination.

All MPA students are also required to provide evidence of their proficiency on the competencies during their oral examination. Students prepare a 20-minute presentation that addresses at least three of the eight MPA core competencies during their oral examination. Each student is allowed to select the three competencies they wish to present. The student presentations are followed by a 60-minute question-and-answer period conducted by a three-person examination board comprised of faculty members as well as business, nonprofit, and government leaders from the Kansas City community. The examination board members evaluate the student’s performance on each one of the competencies that they have selected by indicating if the student exceeded expectations, met expectations, or did not meet expectations.

It is important to note that the program does not use a detailed rubric to evaluate student performance on the oral examination. To meet the university’s assessment criteria, evaluators are given a general set of guidelines to follow. The
### Table 3.

**HSPA Core Values, Competencies, and Core Learning Outcomes**

<table>
<thead>
<tr>
<th>Value</th>
<th>Competency and Related Core Course With Core Learning Outcomes</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Legal Substantive Rights</strong></td>
<td><strong>Competency 2:</strong> Justify the responsibilities of professionals as citizens in a free and democratic society and in the world.</td>
</tr>
<tr>
<td></td>
<td><strong>Core Learning Outcomes:</strong></td>
</tr>
<tr>
<td></td>
<td>Explain the complexity of public problems and issues attendant to attempts to remedy social, political, and economic problems, especially in a civil and elective system of governance (Introductory Public Affairs Literature Course).</td>
</tr>
<tr>
<td></td>
<td>Communicate one’s views clearly and civilly, and offer substantiation for those views (Capstone Seminar).</td>
</tr>
<tr>
<td></td>
<td>Demonstrate the ability to articulate and argue opposing sides of issues (Capstone Seminar).</td>
</tr>
<tr>
<td></td>
<td>Differentiate between personal beliefs and sound public policy in a pluralistic society (Capstone Seminar).</td>
</tr>
<tr>
<td></td>
<td>Articulate clearly one’s responsibilities as professionals in a free and democratic society and in the world (Capstone Seminar).</td>
</tr>
<tr>
<td><strong>Democratic Democracy Common Good</strong></td>
<td><strong>Competency 2:</strong> Justify the responsibilities of professionals as citizens in a free and democratic society and in the world.</td>
</tr>
<tr>
<td></td>
<td><strong>Core Learning Outcomes:</strong></td>
</tr>
<tr>
<td></td>
<td>Explain the complexity of public problems and issues attendant to attempts to remedy social, political, and economic problems, especially in a civil and elective system of governance (Introductory Public Affairs Literature Course).</td>
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<td></td>
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<tr>
<td></td>
<td>Differentiate between personal beliefs and sound public policy in a pluralistic society (Capstone Seminar).</td>
</tr>
<tr>
<td></td>
<td>Articulate clearly one’s responsibilities as professionals in a free and democratic society and in the world (Capstone Seminar).</td>
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</table>
more simplified process helps ensure an acceptable level of uniformity while allowing faculty, practitioners, and community leaders to participate in the review process. The oral examination board members are asked to use the following standards when making their determinations:

Table 3. Continued

<table>
<thead>
<tr>
<th>Professional Leadership</th>
<th>Competency 6: Demonstrate development of key leadership skills, including interpersonal and cross-cultural communications and teamwork.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><strong>Core Learning Outcomes:</strong></td>
</tr>
<tr>
<td></td>
<td>Identify one’s individual strengths and weaknesses as a managerial leader (Core Leadership &amp; Organizations Course).</td>
</tr>
<tr>
<td></td>
<td>Identify organizational effectiveness criteria and tie those criteria to specific leadership competencies (Core Leadership &amp; Organizations Course).</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Personal/Ethical</th>
<th>Competency 4: Demonstrate knowledge of ethical theory and the challenges involved in ethical reasoning and decision making, and show commitment to obligations as professionals in authority</th>
</tr>
</thead>
<tbody>
<tr>
<td>Moral Courage Human Dignity</td>
<td><strong>Core Learning Outcomes:</strong></td>
</tr>
<tr>
<td></td>
<td>Articulate clearly one’s responsibilities as professionals in a free and democratic society and in the world (Capstone Seminar).</td>
</tr>
<tr>
<td></td>
<td>Examine issues based on ethical approaches and decision-making models (Core Ethics &amp; Authority Course).</td>
</tr>
<tr>
<td></td>
<td>Evaluate ethical dilemmas acknowledging multiple perspectives (Core Ethics &amp; Authority Course.)</td>
</tr>
<tr>
<td></td>
<td>Communicate ethical arguments with effectiveness and civility (Core Ethics &amp; Authority Course.)</td>
</tr>
</tbody>
</table>
Exceeds Expectations

- The student’s presentation is well organized and professional, containing no grammatical or typographical errors.
- The student’s content knowledge is exceptional and demonstrates a thorough understanding of the subject matter encompassed by the competency.
- The student details how the MPA program has enabled him or her to master proficiency in the competency by citing specific material from classes in the MPA program.
- The student is able to explain how the theoretical and practical aspects of the competency are related, and the student is able to explain how the competency is related to his or her professional experience.
- The student is able to support his or her arguments clearly and logically throughout the presentation.

Meets Expectations

- The student’s presentation is well organized but contains some grammatical and typographical errors.
- The student’s content knowledge is acceptable and demonstrates an adequate understanding of the subject matter encompassed by the competency.
- The student demonstrates how the MPA program has enabled him or her to master a basic level of proficiency in the competency by identifying courses in the program associated with this competency.
- The student is able to explain how the theoretical and practical aspects of the competency are related, but does not provide examples related to his or her professional experience.
- The student is able to support his or her arguments clearly, but some points or arguments lack a logical basis.

Does Not Meet Expectations

- The presentation is not clearly organized and/or the student has not followed the presentation instructions.
- The student demonstrates only superficial content knowledge and does not appear to understand the subject matter encompassed by the competency.
- The student is unable to identify courses or course content from the MPA program related to the competency.
The student is not able to connect the theoretical and practical aspects of the competency.

The student’s arguments are unclear and do not have a logical basis.

A simple analysis in Figure 2 shows the number of times between 2007 and 2010 that students selected each of the eight competencies. The chart illustrates that of the eight competencies, competencies 2, 4, and 6 were selected with highest frequency. As discussed previously, these are the three competencies associated with the values of democracy and citizenship (competency 2), ethical decision-making and authority (competency 4), and leadership (competency 6). The students’ self-selection of these three values-based competencies at least implies that they are comfortable with presenting the subject matter encompassed by each competency.

In addition, students have performed well on these competencies. During the 2009–2010 academic year, 27 students took the oral examination. Eighty-eight percent of the students who selected competency 2 (democracy and citizenship) met or exceeded the expectations of the examining board members during the 2009–2010 oral comprehensive examinations, 94% of the students who selected competency 4 (ethical decision making and authority) met or exceeded expectations on this competency, and 100% of the students who selected competency 6 (leadership) either met or exceeded the expectations of their examination board.

Figure 2.
Number of MPA Students Who Selected Each Competency on the Comprehensive Oral Examination, 2007–2010

![Chart showing the number of students selecting each competency from 2007 to 2010.]

Note. The chart represents 101 students who selected a total of 303 competencies.
members. In other words, not only were the students comfortable with these competencies, most of the students were also prepared for and capable of addressing the substantive aspects of each competency.

Beginning in the 2008–2009 academic year, the MPA program also began asking students to voluntarily complete an exit questionnaire to solicit feedback from students regarding their experience in the MPA program. The questionnaire is given to students after they complete their oral examination. As part of this questionnaire, students were asked to rate their current skill level and knowledge in seven areas that are related to the MPA program competencies based on a standard Likert Scale. Specifically, students are asked to designate their knowledge and skill level in seven areas as poor, below average, average, above average, or expert. The areas of democracy and citizenship, ethical theory and decision making, and leadership theory and practice are most closely related to the values-based competencies and are marked with asterisks:

- Public Affairs Theory
- Democracy and Citizenship*
- Ethical Theory and Decision Making*
- Leadership Theory and Practice*
- Management Theory and Practice
- Interpersonal and Cross-Cultural Communication
- Research Design, Including Qualitative and Quantitative Research

The student responses to the questionnaire in 2009–2010 indicated that students are relatively confident in their own knowledge and skill level in these values-based areas. Nineteen of the 27 students who graduated during the 2009–2010 academic year elected to complete the survey. Eighty-nine percent of the students rated themselves as above average or expert in the areas of democracy and citizenship, 95% rated themselves as above average or expert in the areas of ethical theory and decision making, and 89% of the students rated themselves as above average or expert in the areas of leadership theory and practice.

The data from the oral comprehensive examination results and the exit questionnaire illustrate that the Hauptmann School’s MPA students express relative confidence in their knowledge and skills level on competencies that are related to core values. When given a choice, they more frequently select the values-based competencies, and they are performing well when tested on these competencies.

Knowledge alone, however, is not sufficient to ensure action. The methodology used by the program to assess student performance on the values-based competencies does not measure the extent to which students actually act as democratic leaders while they are in the program or after they leave the program, based on their understanding of values. Many of the students in the program are working pro-
fessionals who may be acting as democratic leaders when they enter the program. The MPA program gives these students, as well as those with little professional experience, the opportunity to further develop as democratic leaders by both learning and applying the public service values the program espouses. As Robert Denhardt points out, “public administrators not only need to acquire knowledge about the field, they need to develop skills to affect change in the public sector” (Denhardt, 2001, p. 529). Students develop these skills through case studies and application exercises that require them to apply moral reasoning to current issues, examine how public policies affect the human dignity of society’s most vulnerable groups, and describe how they have acted with moral courage in their personal and professional lives. As with all programs, the Hauptmann School’s MPA program cannot guarantee that its students will act in accordance with its vision statement when they leave the program. However, it can assure that students are given the opportunity to learn and apply the program’s values while they are in the program. Graduates understand the values on which the program stands and know that the Hauptmann School considers these values to be paramount.

Conclusion

The accelerated and relentless changes of capitalism, globalization, and technology have made life more unpredictable, less stable, and unscripted as well as contributed to declining trust in institutions. In times of change, core values are needed to provide order and constancy to both personal life and professional institutions. In the field of public administration, values are essential since they serve as both a guidepost during times of change as well as a framework for action in public life. Public service values provide needed touchstones not only for the profession of public administration, but for citizenship in general and the professions in particular.

The concepts of democracy, respect for the common good, acting with moral courage, advancing human dignity, and leadership are integrated into all aspects of the Hauptmann School’s public affairs curriculum, providing a foundation to develop leaders who will shape the future for the common good. The data suggest that graduates of the Hauptmann School for Public Affairs MPA program are prepared to address the school’s values-based competencies. The overarching goal of the program is to ensure that MPA graduates are prepared to confront the ethical and moral challenges they will likely face during times of relentless change and use their authority wisely to make ethical decisions. While the Hauptmann School offers no guarantee as to the ethical standards students will uphold after they graduate, these standards are reinforced throughout the program; and it is clear that by the time they complete the MPA program, graduates know the expectations, standards, and public service values advanced by the Hauptmann School. Further, they are also equipped with the practical tools needed to navigate difficult situations, manage relationships, and deal effectively with issues of authority in organizations in the 21st century.
This case study affirms the efforts of all public affairs programs—and indeed, all professional programs—to be values based. Public service values, in particular, reflect universal human values that enhance any curriculum. This case demonstrates that such values, properly embedded in the program, are easily assessable as well as solidly embraced by students and faculty alike.

As educational program developers know, the design and implementation of a curricular philosophy is a lengthy and sometimes daunting progress. Crafting the program we describe here has taught us much about the needs of students, higher education, and our field. In our deliberations, the one overarching realization that fueled our efforts rested in our concern regarding the competence and responsibility with which our graduates conduct themselves in their professional careers. Publicized actions by educated leaders whose decisions cause harm to others and the community (broadly defined) not only bring negative attention to the institutions that confer their degrees, but erodes public confidence in and support of higher education. Thus we intentionally strengthened the values basis of our MPA program with the expectation that our graduates embrace public service values as part of their professional identity as well as the expectation that these values provide graduates guidance and stability as leaders in positions of authority over others.

Out of this experience, we have arrived at four key realizations that might be considered by any academic program desiring to introduce or reinforce values-based curricula:

1. Values must be present at all levels of the curriculum, and they must be part of the program's assessment process. It is not enough for values to be articulated in the program's vision statement.
2. A values-based curriculum coupled with an enforced academic honestly policy can be mutually reinforcing.
3. Public service values are relatively non-controversial to students, are quickly embraced, and are easily understood. In our experience, these values resonate well with students from many countries and vastly different cultures, finding relevance with our students regardless of age, national origin, or professional experience. Each student faces immense challenges in the future, a recognition that calls on us to prepare them for service in a very different and more volatile environment than the one for which most of us as educators were prepared. Public service values provide the common grounding of human action across geographic boundaries, technological change, and centuries of human history.
4. Values can be stated in such a way that they reflect a program’s unique heritage and character, enhancing the established framework of the discipline.
Students describe instances of moral courage, identifying them in their readings and in their own lives and workplaces, along with explicating the complexities of such actions. Fortunately for our field of public affairs and administration, numerous outstanding public servants are meeting the challenges of our time against considerable odds. They can be found everywhere. Norma Ricucci’s (1995) *Unsung Heroes: Federal Executives Making a Difference* and H. George Frederickson’s (2005) *Public Administration with an Attitude* provide some examples of such extraordinary individuals. Programs can draw freely on many public officials, and perhaps on their graduates, for learning and inspiration.

The Hauptmann School is fortunate to hold up Dr. Jerzy Hauptmann as one stunning example of the embodiment of public service values. While still in his teens, Jerzy Hauptmann learned the importance of dealing with issues of authority as he found himself in one of the most dauntingly evil environments of the 20th century. He clearly recognized that he lived in extraordinarily unscripted times, as signified by his diary entry of September 1, 1939 (the date of the Nazi invasion of Poland), which reads: “Poland is no more” (English translation) and reflects the realization that his country, his world as he knew it, was forever changed. And indeed Poland was changed. With his experience in the Polish Resistance, Dr. Hauptmann seized forever the seriousness of fundamental public service values in the professions and in public life. Over four decades later, across the world, he translated these lessons into a Master of Public Affairs program, admonishing students that regardless of chosen profession, their responsibility is to work hard to make their country a better place and to serve their fellow human beings. Clearly, public service values, grounded in some of the most painful lessons of history, provide the commitment and point the way for a better world in the 21st century.

**Footnotes**

1. This paper was previously prepared for presentation at the Annual Conference of the National Association of Schools of Public Affairs and Administration, Arlington, Virginia, October 15–17, 2009. Revised and expanded.

2. For an excellent example of the use of values frameworks in a public policy course, see Francine Sanders Romero, *Journal of Public Affairs Education*, 12(3) 347–360. In addition, it is noted that many MPA faculty embracing service learning as a teaching method do so because of the inherent values dimension of that pedagogy.

3. It is acknowledged that students’ selection of the values competencies may be related to variables other than their perceived level of comfort with the coursework they have taken in the areas of democracy, citizenship, ethical decision making, and leadership. Since the values of the program are openly acknowledged, some students may decide to attend the program based on these values. It is plausible that some percentage of the students were already commitment to these values before attending the program and chose the program for this reason. As a result, the program may not be the reason for their value perspective when they exit the program, since it may have simply

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reinforced preexisting, long-held values. However, the anecdotal information and general feedback that we receive from students during initial advising sessions indicate that the percentage of students who select the program solely because of its emphasis on values is relatively small.

References


Advancing and Assessing Public Service Values


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Teaching Public Management as a Fulbright Scholar in Malaysia

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Abstract
A Fulbright semester teaching MPA students at the University of Malaya in Kuala Lumpur involved hospitable faculty colleagues, promising students, interesting intercultural experiences, the challenge of teaching a course far from prior fields, and a reunion with a former student who had become Secretary General of a major Malaysian Ministry. Recommendations for potential Fulbright Scholars focus on the importance of initial introspection regarding the destination country, considerable personal and professional flexibility, consultations with recent Fulbright Scholars, early research on housing options, and fully embracing the numerous unexpected opportunities.

To honor the 65th anniversary of the venerable Fulbright Scholars Program, the editor of the Journal of Public Affairs Education invited Fulbright award winners to “chronicle specific experiences, describing how their adventures affected them overseas as well as in their teaching and professional development” (Schultz, 2011). Such first-person accounts are inescapably anecdotal but can, as case studies, give potential future Fulbright Scholars information, advice, insights, and encouragement that may be of practical value. These reflections on my experiences in Malaysia in 2010 may provide ideas and lessons to consider when undertaking a Fulbright.

Before Departing
A key difference between a merely good Fulbright and an outstanding Fulbright is probably finding an especially suitable match between the Scholar and the venue. Presuming one wants at least a one-semester academic experience and immersion in another culture, the initial question is: which one? For those seeking a purely research Fulbright, their topic may immediately narrow their options; but, for a teaching Fulbright, opportunities encompass most of the countries on every continent. Some introspection at the outset can help winnow the decision to a wiser choice.

One’s willingness to be pushed beyond old comfort zones should influence how seriously certain developing countries and dramatically different cultures
are considered. In my case, I wanted to live and work in a place that was neither too undeveloped nor too developed, with access to modernity but where the novel, gritty, traditional culture had not yet been scrubbed away into globalized homogeneity. Factors like language skills also deserve weight. I am not sufficiently fluent in another language to lecture in anything but English. That ruled out most teaching awards in Brazil, for example, where Portuguese lecturing was required. Also, the destination country’s academic calendar would need to allow me to complete the fall semester in the United States before going overseas.

Only one Fulbright application is allowed per year. In screening with my checklist of requirements and preferences, one country stood out: Malaysia. Its vibrant traditional cultures have not yet been erased by modernization. English is the language of instruction at leading universities and is widely spoken thanks to nearly two centuries of prior British rule. And semester schedules did not overlap. The Institute for International Education, which administers the Fulbright Program, listed a university-level opening to teach American government in Malaysia. Steamy tropical weather would be a bonus.

Many Fulbright recipients in public affairs, public administration, and public policy have gone to South and East Asia, especially China, India, Japan, and Korea (Adams & Infeld, 2011); but not many have gone to Malaysia, perhaps due to its relatively low visibility in the United States. Whatever your personal criteria for the ideal locale, a successful Fulbright surely starts with clarity about those criteria in order to find the best possible fit.

Once my country goal was identified, the Fulbright application process was not too onerous: a short essay, an online form, and a few short sample syllabi (for the advertised course and alternative courses), along with three letters of recommendation from colleagues. A medical checkup came later. For teaching positions, there seemed to be an understandable interest in ascertaining the applicant’s adaptability and classroom savvy.

This first stage was not difficult, but subsequent phases required patience while the application goes through a series of committees. Then, if all goes well, the application goes to the destination country, where it is subjected to more reviews and ultimately requires approval from the final institution for placement. Some positions are linked to certain institutions, but most are countrywide and do not have an automatically designated university. Consequently, many quasi-approved Fulbrighters may learn they are cleared for China, for example, but not know for certain until a month or two before they depart if they will be dispatched to Beijing or Hangzhou or elsewhere—or even exactly what they will be teaching. At some point, one must start making decisions with optimism that everything will be favorably resolved sooner or later. Of course, people who get too upset by uncertainties and unpredictable timelines might not be good candidates to live and teach abroad, as least outside a few punctilious nations. This raises the vital factor of flexibility.
The good news eventually arrived of the final confirmation of my Fulbright teaching award at my preferred city and school in Malaysia: Kuala Lumpur (KL) in the MPA program at the University of Malaya (UM), the country’s largest, oldest, and most prestigious university. The bad news was that the chair of the Department of Administrative Studies and Politics said they needed me to teach management and organization theory because the American government class was not being offered and regular faculty were teaching all the other courses from my regular repertoire of research methods, applied statistics, and policy analysis. She reasonably assumed that a full professor at a school of public administration must be well acquainted with Mary Parker Follett and Herbert Simon, et al. Alas, not only had I never taught organization theory, I had never taken a course on the subject. But I had promised the Fulbright Commission “flexibility,” and I vowed to deliver. At first glance, the subject seemed fairly straightforward; but as the core text, the department wanted me to use Shafritz, Ott, and Jang’s *Classic Readings in Organization Theory* (2010), a compilation of many dense original texts that seemed ambitious for MPA students lacking native fluency in English and as well as for their visiting instructor, who lacked fluency in the whole topic. With little time during an especially busy semester in the United States, this new preparation would be a task to tackle after arriving in Malaysia.

**Life in Kuala Lumpur**

Flexibility was also crucial when it came finding a place to live in Kuala Lumpur (KL). The Fulbright program helps with many details of the transition but, depending on the country, may not do much to facilitate finding shelter. My goal was to live in the city center and be close to a station on KL’s network of monorail and light rail, but most landlords want a 1-year lease, not 6 months, and upscale buildings that cater to Westerners demanded excessive rents. Despite a few days of anxiety as the hotel budget dwindled, with the help of an industrious young real estate agent (who was also a periodic Buddhist monk) and strong negotiations, I rented a fairly spacious one-bedroom unit high in a new condominium that had a view of the iconic twin Petronas Towers from my living room and was not far from a monorail station.

Because I had previously traveled overseas extensively, especially in Southeast Asia, most of the exotic sights and sounds of KL’s Malay, Chinese, and Indian potpourri were not new to me; so I underwent no new “culture shock” or epiphany. Yet the saturation experience of living and working there for an extended period was vastly different and thoroughly enjoyable.

As another aspect of flexibility, to fully embrace this once-in-a-lifetime immersion in another culture, I had pledged to push myself to accept every invitation and opportunity that came along and see what the adventures would bring. Buy a traditional *baju malayu* with *songkok* as required to wear at an upcoming royal wedding and risk looking like a crazy *mat salleh*? Yes, certainly.
Join the throng at the Thaipusam festival at the Batu cave Hindu shrine as well as worship at the nearby Baptist church? Yes, of course. Go to lunch with a talkative Syrian named Osama who adored F. A. Hayak and sat by me on the monorail? Yes, indeed. Substitute for the ill keynote speaker tomorrow at a medical college? Yes, I will do my best. Speak to UM faculty about American attitudes toward foreign policy? Yes, even if my chief research on this topic was a quarter century ago (Adams, 1984, 1987). Participate in a closed-door UM faculty session on intercommunal relations among Malay, Chinese, and Indian Malaysians? Yes, but be diplomatically reticent. Attend a faculty meeting that I was not obligated to attend? Yes, and feel déjà vu listening to faculty concerns about deans, budgets, and publication pressures. Help design a new Master of Public Policy degree at UCSI University? Yes, my pleasure. In short, I accepted these and all other invitations, including questionable ones that would have been declined at home, and had a far richer Fulbright experience.

Teaching at the University of Malaya

A crucial but unpredictable ingredient in the Fulbright experience that you cannot know in advance is the degree of hospitality and collegiality you will encounter at your destination institution. I was fortunate to land among extraordinarily congenial faculty. The wonderful woman who chaired the department invited me to join her family at parties and lavish Malay weddings, including a royal wedding in a Sultan’s family to which she belonged. She urged me to visit Kota Bharu to see “old Malaysia” and arranged for her nephew who lived there to be my guide. She made sure I was invited to everything that might possibly be of interest. Other faculty members went out of their way to be friendly as well. Almost everyone took me out to a special lunch, dinner, or wedding at least once.

Some impressions regarding this warm welcome: Faculty members who had earned degrees in the United States or had a Fulbright experience there seemed particularly eager to reciprocate what was, thankfully, a happy experience in the United States. Plus, Malaysians, to make a sweeping generalization, are gracious and sociable people. I take no credit for their hospitality, but I did make a conscious effort to be extra friendly, extra humble, and avoid any hint of adversely judging any cultural differences or university practices.

At the university, from time to time I would encounter a new practice that no one had mentioned to me because it was routine at UM. For example, halfway through the semester I discovered that within 24 hours, all final examinations needed to be submitted for review and polishing by a faculty panel and then translated into Malay, photocopied in a secure location, and sealed in a vault until the morning they were solemnly brought by a senior staff member to the final examination hall. With little idea what the rest of my organization theory course would actually cover, this newfound task required some rapid reading and creativity.
Another unexpected campus practice was the discovery that all 3-hour-long, evening graduate classes take a prayer break for the majority Muslim students, followed by complimentary tea and seasoned rice dishes wrapped in banana leaves. That break offered a nice chance to chat informally with the likeable young men and women in the MPA program.

A less pleasant practice was that UM students did not have to commit to taking a class until the fourth week of the semester. Some students rotated in and out of my class trying to decide if this alien instructor would be decipherable and reasonable. There was, I later discovered, a widespread fear that the visiting instructor would demand what they reckoned must be absurdly high American academic standards. At the end of my month of auditions, with a net gain of a few people, the result may have been a self-selected group of students who were atypically brave and curious.

My new preparation was the most time-consuming challenge, requiring days each week to digest the material, convert it into beneficial PowerPoint highlights, and develop strategies for class discussions. Having heard colleagues joke about teaching a class where they stayed one session ahead of the students, this was my first time to actually have to do just that. Yet, surprisingly, teaching a new subject far outside my area, while laborious, was quite satisfying and certainly fresh, lacking any recycled material at all. I learned an enormous amount about organization and management theory, and the evidence of the midterm and final examinations was that my students did as well.

My basic pedagogical approach was not too remarkable: mostly lectures supported by PowerPoint along with some class discussion. My students, I had been warned, would become very shy the moment class started, so I should not count on much participation. Requiring a weekly one-page recap of highlights from the readings was my device to try to at least ensure preparation. One accidental discovery was that getting the class to first talk about something frivolous and nonacademic—the recent Malaysia-Chinese badminton battles, the best local cell phone service, favorite Hollywood stars, activities during the Chinese New Year holiday—helped break the ice at the start of each session. While, just like back in the USA, a few students resolutely never volunteered a comment, we managed to have some fairly good, substantive discussions.

At my home university, some of us are putting increased emphasis on communication skills; and I decided to incorporate that into my UM class. As a break from the heavy class readings, three-student teams were assigned light, “pop management” books to summarize in 15-minute presentations. Dread of that one assignment drove several to drop the class, and most of the rest viewed it with trepidation. But I gave tips on public speaking and using PowerPoint effectively, and the first two teams (bribed with dinner for volunteering to go first) were so good that others seemed emboldened and made fine, sometimes superb, talks. For almost all, it was their first presentation in graduate school;
and, for most, it was also their first public address in English. It also served as a memorable confidence-building exercise.

After complimenting a team presentation, questions were raised during the prayer and tea break about whether my praise was based on a relaxed standard, not on an American standard. I tried, perhaps with some success, to convince skeptical students that their lively, well-organized remarks would have been good anywhere. Indeed, most of my students were smart, bighearted, public-service-motivated people who seemed to underestimate their own potential. They seemed genuinely moved and surprised that I saw such promise in their lives.

That matter of encouragement made an event near the end of the semester all the more dramatic. We were invited to the executive conference room on the top floor of the national government’s Ministry of Works, the large department that builds and maintains the country’s roads, schools, bridges, and other public infrastructure. Our host was Datuk Thomas George, the Secretary General, the highest-ranking civil service administrator at the ministry. Almost three decades earlier, Thomas George had been a quiet international MPA student in my class at the George Washington University (GW). Sitting around the grand paneled room, my UM students asked him questions we had collectively developed to get his thoughts on leadership, managing diversity, participatory management, and other issues covered in class.

The Secretary General responded eloquently, drawing on examples from his leadership in the Ministry of Works and quoting professors with whom he had studied long ago at GW. He even distributed a page on management issues in large organizations that he had saved from an MPA class nearly 30 years earlier. He also spoke about the value of careers in public service and the importance of personal
integrity. Several Malaysians had told me that his reputation for unquestioned integrity and intolerance of corruption, along with his management and diplomatic skills, had vaulted him into the upper echelons of public management in Malaysia. After an amazing hour, we adjourned to a catered dinner that the Secretary General, my old unassuming MPA student, hosted for us. In case anyone had missed a key subtext, I made it explicit back on campus the next week: Study hard, work hard, manage wisely, seize opportunities, be scrupulously honest, and every one of you, just like Thomas George, can have an immense impact in making this country better.

My classes had an undercurrent of frisson, the dynamics of which I struggled to identify. Was the excitement and fear due to my nervousness about my limited command of organization theory? Was it my concern about decoding Malaysian accents without calling for comments to be repeated several times? Was it caused by my struggle to read the reactions of the “silent majority” of extremely polite but taciturn students? After a few weeks in KL, I began to untangle the accent; although I would still sometimes hear people chattering on the monorail and try to figure out what language they were speaking, only to realize eventually that it was English. My own English seemed to pose no obstacle. Having traveled overseas often, I had learned to purge most idioms and slang from my speech when I step off an airplane; and, because I was raised in Texas, speaking slowly requires no extra effort.

Ultimately, I attributed the frisson to the sessions being about far more than organization theory and the English language. These were, for those of us in the room, serious cross-cultural events. I was the first American, or Westerner, that most had ever known. My own attitudes and values were under study even more than those of Mary Parker Follett. Their sentiments were simultaneously under my microscope. During one evening break later in the semester, Cahaya confided that I was the first mat salleh (neutral Malay slang for “white guy”) she had ever known. Her two friends nodded in agreement. I was not just the first Yankee; I was the first Caucasian, a dimension I had not considered. They had seen pale tourists around town but never had real conversations with them. Inquiring how you personally compare to someone’s expectations and stereotypes is unlikely to elicit a candid answer in any culture, especially not in a highly courteous and deferential culture like Malaysia’s, so I resisted asking.

Incidentally, I cannot recall being pushed to defend U.S. foreign policy except by one dean, and I never sought to ingratiate myself by gratuitously criticizing the United States. While the euphoria over Barack Obama’s election was ebbing in the states, his halo was still shining brightly at the time in KL, and I did hear much admiration for him.

At the end of the semester, students insisted on a gala celebration. Farhana, from Dhaka, prepared a buffet of rich Bengali dishes. With Sharina serving as the disk jockey, the department chair joined us to lead the poco-poco, a Malaysian
line dance. A 3-by-4-foot “we’ll miss you” card was filled with effusive good-bye notes. Red icing on the big cake said, “Great Experience with You—We Love You!” This was not a routine class that “clicked.” It was a mutually extraordinary, cross-cultural “great experience.” If former Fulbright teachers get misty-eyed and nostalgic about their time abroad, I suspect it is because—like me—they had a magical time getting to know eager students and transcending cultural barriers.

My semester had both notable differences and similarities with Donna Infeld’s Fulbright teaching MPA students in Beijing (Infeld & Wenzhao, 2009). Quite unlike her class, my students had rather good English conversational skills, were accustomed to a full-semester syllabus with all assignments announced on the first day, shared the Western negative conception of plagiarizing, and were not stunned to be asked to critically evaluate readings. Very much like her class, however, my students were also highly attentive and respectful, were eager to get to know the visiting instructor outside the classroom, were comfortable with team projects, and appeared astonished to be commended and encouraged. While my students were considerably more vocal in class than were Infeld’s in China, these Malaysian MPA students still did not rival their outspoken American counterparts in my classes at home.

Departing Malaysia: Professional Development

To recount a Fulbright without trying to convey some of these emotional and interpersonal crescendos would strip it of much of its impact. That must be why the JPAE editor, as a former Fulbright Scholar, knew to ask his colleagues to “chronicle specific experiences” and describe “how their adventures affected them overseas” and not simply to enumerate their “professional development.” However, the impact on my professional development and activities has indeed been significant in ways big and small, giving me a fascinating cross-cultural education, stimulating two new lines of research, expanding professional relationships and collaborations, and somehow galvanizing my classroom sessions back at home.

There seems to be growing interest in broadening American academic horizons beyond our shores to add a more global perspective to our curriculum (Straussman, 2008; Fritzen, 2008; Barber et al., 2007; Jreisat, 2005). The Fulbright months offer an enlightening education about another polity and culture—or, in the case of Malaysia, cultures plural—and train us to see beyond the confines of the United States. Not until after returning home did I begin to recognize just how much I had cumulatively learned and absorbed about Malaysia and the region’s history, politics, and cultures. Every day in KL had been a workshop where I was the pupil. My reading assignments included local newspapers, books, and blogs, but the daily “field trips and interviews” outside my apartment taught the most. My students, colleagues, and other new friends were my teachers. The complex Malaysian mosaic is not without tensions with its deep cleavages of language, religion, and ethnicity among its Malay Muslim majority, its substantial Chinese and
Indian populations, and the indigenous peoples of Sabah and Sarawak. Although communal unity may be stronger than national unity, the complex society still functions remarkably well by practicing civility and respect.

While my Fulbright was a teaching, not research award, the semester in Kuala Lumpur was much more productive than I expected. Using a short self-administered questionnaire, UM’s Dr. Nik Rosnah and I collected data on the public service motivations of MPA students that we incorporated into an international comparative study and presented at a conference in Manila (Infeld, Adams, Qi, & Rosnah, 2010a); it was soon published (Infeld, Adams, Qi, & Rosnah, 2010b). Overall, the Malaysian MPA students were more similar in their career objectives to the American than to the Chinese MPA students (p. 813):

Despite differences in cultures and regimes, ultimately all three groups of graduate students wanted public service jobs that allow them to serve the public fairly, ethically, and meaningfully. While serving the public, they nonetheless did not want to take vows of poverty and prioritized jobs with security and good benefits that would allow for career advancement. At the same time, . . . personal growth [was] particularly important for the American and Malaysian students.

Thanks to e-mail, a U.S. colleague and I continued to collaborate quite effectively on unfinished papers. Our progress was actually faster than usual because of the turnaround advantage of a 12-hour time difference; as she slept, I prepared my revisions, which she then amended while I slept. Furthermore, my Fulbright directly inspired another line of research collaborations about the role and utilization of international education exchanges (Adams & Infeld, 2011a, 2011b).

It may be a Fulbright cliché to say that you return home reinvigorated, but that is exactly what happened. Even more than from an ordinary sabbatical break, the energy from that intense, nonroutine classroom experience at UM somehow seemed to reignite my classroom at GW. One powerful demonstration of the long-term influence of teaching was still vivid, and so I reached out to the widow of the professor of public management—whom the Secretary General had especially quoted and whose handouts he had saved all these years—to let her enjoy this echo of her husband’s continuing legacy even on the other side of the globe.

One post-Fulbright resolution has been to do more to engage with our visiting international scholars. While previously presuming that we were being reasonably cordial, now I fear they may get lost in the shuffle of a large urban university. At a minimum, I want to make sure to take each of our visiting scholars out to dinner and to some other social occasion. Similarly, I have made an extra effort to befriend and go out to lunch with our international students; and, given my deeper appreciation of the courage they must have to undertake study in another culture and another language, throw a party for them at my home.
Returning Home: Lessons Learned

Tempting as it may be, one cannot become a perennial itinerant Fulbright Scholar. After a hiatus of 5 years, individuals are allowed to apply for a second Fulbright, but not for a third Fulbright, except to a very few underserved countries. Five broad lessons from my time in Malaysia are worth remembering for my next Fulbright and worth underscoring for American colleagues when they contemplate a Fulbright.

Lesson one was the value of careful deliberations about the target country. To some extent of course, the quest is like picking a doctoral program in that reputation alone does not tell you in advance exactly how you will relate the particular personalities to be encountered. And for a research-related Fulbright, substantive factors will probably dictate or constrain destination choices. But for a teaching Fulbright, where most parts of the world are an option, one can still roughly estimate the likely personal fit with factors such as language, culture, heritage, schedule, development, personal daring, and special interests. One colleague was drawn to China, in part, so her adopted daughter could experience living in the land where she was born. In my case, Malaysia proved to be an ideal fit for the reasons discussed earlier. Looking beyond high-profile countries should be a part of search considerations, in my opinion, not just to find awards that may not be in such high demand but to find fascinating locales off the beaten path where the rare Fulbright Scholar may be especially appreciated.

Lesson two was to contact recent Fulbright Scholars, especially those in our fields, to gain their insights and suggestions. Once I learned my assigned university, I contacted a helpful American who recently taught there on a Fulbright to learn more about practices such as the expected classroom attire for instructors. Neither suits nor coats were worn, he said, and ties were optional, thus trimming my transported dress clothes down to one suit that was sufficient for the few required occasions. He also discouraged me, for a variety of reasons, from bothering to investigate the university’s faculty housing.

Lesson three was the importance of starting early to explore housing options. While ultimately fortunate, I should have begun this process sooner by talking more with local Fulbright administrators and former Fulbrighters, and by doing more research online. Having a safe, comfortable, convenient retreat in which to sleep, work, relax, read, and even cook is important, as are Internet access and proximity to markets, services, and transportation. With a little searching, the Fulbright housing allowance should usually be quite adequate for finding an acceptable place to live. Again, personal tastes will influence the extent to which one wishes to “rough it” for a few months, retreat to an enclave of expats, or do something in between. I myself tend to prefer to “go native” during the day (getting $2 haircuts with the locals two blocks away from the $20 haircuts at the upscale mall), but have more familiar surroundings in the evening.
Lesson four was the absolutely essential need to be open and flexible. Assume that there will be interesting twists, big and small, that allow you to demonstrate your equanimity and resourcefulness. In my case, the major challenge was the distinctly new course preparation, which I decided to accept as a splendid learning opportunity. Various smaller and unexpected matters were almost all resolved satisfactorily by a combination of good humor, acceptance, and agility, and by resisting the urge to escalate them (internally to myself and externally to others) into terrible dramas. Alas, I did let one incident bother me—after buying a cheap, defective printer from a merchant who refused to replace it, I foolishly got angry instead of laughing.

Lesson five was the value of not being shy, of accepting every possible invitation and opportunity that came along and issuing invitations myself. Time flies, and the Fulbright will end all too quickly. As noted earlier, I welcomed all sorts of invitations that enriched my experience. Making the most of the time meant getting to know colleagues, students, and other Malaysians. In retrospect, I was not fully prepared for the extent to which many of the students were eager to get to know me and may have erred in keeping a little too much professional distance, especially early in the semester. I could have spent a little more time socializing with groups of students after class. Perhaps another mistake was doing too much of my reading and other preparation for my new public management course at my cozy apartment rather than my university office, where I could have shared a few more lunches with faculty colleagues. On balance, however, for an introvert like me to be receptive to the warm Malaysian hospitality allowed for an enthralling experience.

Friendships and professional relationships that were developed during my Fulbright last year show strong prospects for enduring. New invitations to return to speak, conduct workshops, and teach at UM as well as at two other local universities offer attractive possibilities for ongoing academic visits. One or two of my promising MPA students in KL will surely become another Secretary General in a few years. In the meantime, tickets to Malaysia have already been purchased for this summer to renew friendships, give a few lectures, and even make a few tourist stops that I never got around to seeing during my busy Fulbright. If you have an adventurous spirit and have not yet taken your first Fulbright, do not delay.

References


A Fulbright Scholar in Malaysia


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Review of

*Public Administration: An Introduction*

by Marc Holzer and Richard W. Schwester

Review by Johnnie Woodard

*Strayer University, South Charlotte Campus*

Students studying public administration want to understand the activities taking place in their neighborhoods, the community, and the nation. Keeping an open mind as to how this book affects students' learning is of paramount importance. *Public Administration: An Introduction* is well suited for the new undergraduate, public administration student. Professors should find the book easy to use, and students should find it easy to read and comprehend. Each chapter contains boxed notes on important points, along with key terms and supplementary readings lists; these features offer advantages of using the book in introductory university courses in public administration.

This text is reviewed in a chapter-by-chapter format. The exact titles of chapters are used, and brief summaries and observations are presented for each chapter.

**Public Administration: An Indispensable Part Of Society**

In this chapter, the authors examine the concept of public administration and its effect on society by presenting visual depictions of data. They ask questions about why government requires resources and what return on those resources can be expected. These questions are designed to encourage students to get involved with the answers. The authors also provide a breakdown of different government departments and include concise overviews of the duties and responsibilities of the departments. Other features in the chapter include the use of figures to illustrate the structure of a city government. The authors also discuss how society is being served by dedicated public servants.

**Organizational Theory and Management**

Public administration is a complex subject to be explored. It requires an understanding of human management theory, which involves decisions about what is the best management approach for helping employees to function effectively in today's environment. This chapter is a reflection of the thoughts of many writers as they answer questions concerning the bureaucracy and its relation to the
centralization of organizations. There is also an explanation of how implementing a moving-assembly line affects the productivity and attitudes of employees. Since organizational management has made many different changes, it only stands to reason that the understanding of the human side of an organization becomes prevalent.

The writers do a good job of covering the human side of organizational management, and their review of theories X and Y is excellent. However, their review of contemporary organizational theories along with systems theory could have been more complete. In addition, identifying and explaining organizational culture would help students to better understand the internal environment of an organization.

Managing Human Resources

The authors cover a large amount of information for students in this chapter. Especially important is the explanation of how “people” should be considered a capital resource, given today’s diverse workforce. The authors also present the theory of motivation, which defines the importance of a competitive, dynamic, and frugal workforce. Of equal value is the emphasis on the importance of having a positive attitude and how self-driven individuals help create an understanding of the work environment.

Employers must carefully consider the attributes of prospective employees in order to find quality personnel. The authors describe job satisfaction, job fulfillment, Maslow’s Hierarchy of Human Needs, performance appraisals, and determining the strengths, weaknesses, opportunities, and threats (SWOT) for each employee. Knowledge of these categories helps create a quality work environment.

Public Decision Making

Making decisions at the public level is important, and with this chapter the authors review the six steps in this process. Details are provided for each step, with figures and a helpful exercise for students. The authors review several different decision-making models and present figures that include detailed explanations. The associated cost and the reasons for each model are included for clarification and model validity.

Politics and Public Administration

This is a highly sensitive area for some, but the authors carefully describe and explain it by presenting the historical perspectives on the ways that both politics and public administration have reacted to each other over the years. The authors also provide students with an enhanced appreciation of the differences between the two. Cartoons are used, illustrating the implications of the ideology presented by both the political and public administration.
Intergovernmental Relations

The main issue in this chapter is the layers of government and the explanation to students of just what these layers mean to them. The identifying and defining of each layer is done with an open dialogue that students can relate to. A major point is the presentation of the shared services and their impact on the community.

Public Performance

Efficiency and performance have always been necessary for any business or government function, either public or private. The idea introduced by W. Edwards Deming (1986) has become one of the major quality environments today. Total Quality Management (TQM) today is a form of quality improvement process and service on a continual basis.

For students, this chapter proves helpful in understanding why TQM is so important in today’s working environment. The authors provide clear descriptions in the figures as well as in their explanation of the quality aspect of public performance.

Program Evaluation/Public Budgeting/Public Sector Leadership

Students of public administration will find these three chapters well defined and explained in detail throughout. The authors begin the first chapter by identifying the pros and cons of using surveys that require data collection. Also stressed is the importance of using reliable data-collection procedures. The writers show students how and why conducting evaluations is critical for the stakeholders as well as for everyone involved during the survey. And there is an excellent table for students to review.

The importance of evaluation is also exemplified by the many charts and graphs used in this chapter, and the authors exceed expectations in this area of explanation for students. In addition, through the exercises offered, students should have a better understanding of the impact of evaluation on organizations. One point was made regarding ethical concerns in protecting all involved during the survey.

The budgeting chapter acquaints the student only with the basic fundamentals for budgets. The writers provide an overview explaining different types of budgets, including the federal budget process. This chapter has multiple charts, tables, and graphs providing students with visuals on how budgeting works. An important section of the chapter shows the advantages and disadvantages of certain models that help students understand how the government receives certain monies.

In the chapter on leadership, the authors offer cases, exercises, and theories. The students are first provided with a basic overview on leadership. Then several cases and exercises are included to enhance the learning skills for students who would like more knowledge of public administration through leadership.
Ethics and Public Administration

This chapter does not live up to expectations. Ethics, today, has become one of the most controversial subjects in the everyday lives of both public and private players. Therefore, public administration should be reviewed and subjected to scrutiny. It is through ethical principles that government employees should handle every transaction that involves the public. Therefore, all students must understand what ethics are and how the policies and procedures of ethical behavior can impact society.

People like to label things; just the word bureaucracy often makes people flinch. How do we get around this? Students tend to develop a negative mind-set when they are confronted with a bureaucracy that has caused someone to consider a solution to a problem that may not be ethically correct.

Today, we find in public administration that a multitude of eyes are watching everything that is done or said. Ethical standards committees are prevalent in most organizations, reviewing and providing continuing education. These committees investigate charges of corruption and can recommend possible action. Hotlines, too, have been set up for those who would be whistle-blowers and can call in actions against someone who has broken the ethics standards of the organization.

Technology and Public Administration/Public Service and Popular Culture

In the 21st century, there has been a large growth in electronic technology, which has provided many different ways of recording information that helps govern. Computers, cell phones, iPods, and other electronic equipment continue to make lives more productive and efficient. The authors provide an excellent overview of how technology has affected communications within an organization. With today’s technology, we have seen e-mail become as important as the formal communication chain. As fast-paced as industry is today, the faster the communication, the better and more profitable the organization can become. Data is now secured and served with what is known as knowledge management; organizations appoint a chief information officer (CIO), who makes sure all of the organization has access to the most up-to-date information. This keeps management informed and helps maintain the bottom line for the organization. With our fast-paced society, being informed is absolutely necessary to being on top of your industry and knowing what is taking place.

For students, describing the roles of the public servant is well presented and is an important contribution by the writers. Having this information will, hopefully, give students a better understanding of what a public servant is and does.

The Future of Public Administration

The authors put together assumptions that are close to reality, based on today’s working environment. After reading the material as a student might, it is
clear that the authors were, for the most part, thorough. The details are backed up with a multitude of tables, graphs, charts, and figures. The only area lacking more detail is the chapter on the ethical and moral aspects of an organization. In today’s environment, this topic should warrant more coverage than it was given.

FOOTNOTE
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