

**SOSC 3630 / SOSC 5680**  
**Democracy & Democratization**

**Spring , 2021**

Instructor: Dixon SING

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**Course Description**

Drawing from single-country and cross-national research, this course covers some crucial areas in the field of democracy and democratization for students in social science:

- i) basic features of democracy: its definitions, causes of emergence, strengths and challenges;
- ii) global expansion of democracies since the late twentieth century;
- iii) research on whether democracy can promote human rights, whether there is a basic conflict between Asian values and democracy, and whether democracy is favorable or unfavorable to economic development; and
- iv) causes of global democratization and democratic stability from various perspectives;
- v) Discussion of persistence and changes of authoritarian regimes

**Learning Outcomes**

- i) To think critically of research in comparative democratization and comparative politics.
- ii) To analyse data and arguments in research of comparative democratization.
- iii) To apply knowledge in comparative democratization through a case study or comparative study.

**Teaching Approach**

Through interactive seminars, lectures, films, case studies, and comparative analyses, this course will encourage students to learn through intensive class discussion/debates the key features of democracy and democratization around the world in the last few decades. The course will be theoretical, empirical and comparative, and students are expected to read intensively some leading works in the field for more effective class participation and learning.

Percentage of coursework: 100% for the grade of the course

i./ Post-graduate and undergraduate students need to submit an individual / a group seminar paper respectively based on one of the following seminar topics (submitted within 14 days after presentation with BOTH hard and soft copy (to CANVAS); no more than 12 and 17 pages for undergraduates and post-graduates respectively, including references)

(35%)

ii./ Group Presentation of seminar topic (35%)

iii./ Individual class participation (both quality and quantity counts) (30%)

Papers to be submitted should be double-spaced, typed with full references. Each main topic below carries a suggested question with some assigned readings. You should pick up one of the questions as the key topic for your paper writing. When you write your paper, make sure you do not just summarize the readings, but contain your own critical comments and analysis after extensive reading. Students need to submit their individual /group papers within two weeks after their presentation to me during classes by hand. Late submissions of papers will have their marks deducted, except in cases where the lateness has been affected by extenuating circumstances.

The following criteria will be used for assessing the papers: i/ scope and depth of literature review; ii./ clarity of writing and coherence of ideas; iii./ sufficiency of evidence and originality of arguments. Each criterion will carry the same weight in scoring the papers.

Harvard referencing system is preferred:

<https://www.imperial.ac.uk/media/imperial-college/administration-and-support-services/library/public/harvard.pdf>

- Absence of adequate referencing can be interpreted as plagiarism and lead to a failure for the entire course! *Please see a link to the HKUST Academic Integrity site at <http://www.ust.hk/vpaa/integrity/> for avoiding plagiarism and failure to discharge your duties.*

### **Arrangements for Presentation & Discussion**

Each post-graduate and undergraduate student should deliver a presentation by choosing one of the following seminar topics.

Distribution of time for the course:

Week 1-2: lectures;

Week 3 – Week 13: Students' Presentations plus some supplementary lectures

Presenters should prepare and distribute an outline (no longer than 1.5 pages) to the class during their presentation. The outline should contain the main critical review of the literature, their views on the seminar topics and further questions for class discussion. You are also encouraged to use PPT and appropriate videos to enhance your presentation.

Presentation: no more than 40 minutes; open discussion: 1 hour; supplementary lecture, video-shows.

Recommended Textbook: Haerpfer, Christian W. *Democratization*, Hong Kong : Oxford University Press, 2009

Halperin, M., Siegle, J. and Weinstein, M., 2010. *The democracy advantage: How democracies promote prosperity and peace*. Routledge.

Recommended key reference book:

Teorell, Jan. *Determinants of democratization: Explaining regime change in the world, 1972–2006*. Cambridge University Press, 2010.

Larry Diamond, 2008. *The spirit of democracy: The struggle to build free societies throughout the world*. Macmillan.

Diamond, L., Plattner, M.F. and Rice, C., 2015. *Democracy in Decline?*. JHU Press.

Diamond, L., Plattner, M. F., & Walker, C. (Eds.). (2016). *Authoritarianism goes global: The challenge to democracy*. JhU Press.

## Lecture Topics

### Week 1. Global Trend of Democratization: how pervasive is it?

1. Diamond, Larry J. (1999) *Developing Democracy: Toward Consolidation*. Baltimore: John Hopkins University Press; pp. 24-63.
2. Diamond, Larry Jay (2008). *The spirit of democracy : the struggle to build free societies throughout the world*, N.Y: Times Books. Chap. 1-2.
3. Fukuyama, F. et. al. (2000) *Democracy Century: A Survey of Global Political Change in the Twentieth Century*. N.Y.: Freedom House.
4. Diamond, Larry (2003) “Can the Whole World Become Democratic? Democracy, Development and International Politics”, Center for the Study of Democracy, UC Irvine.
5. Diamond, L. (2020). *Breaking out of the democratic Slump*. Journal of Democracy, 31(1), 36-50.
6. Huntington, Samuel P. (1991). *The Third Wave: Democratization in the Late Twentieth Century*. London: University of Oklahoma Press, 1991. Chap. 1.
7. “How Far Can Free Government Travel? / Sartori, Giovanni” in Diamond, Larry and

Plattner, Marc F. (2009). *Democracy: A Reader*. Baltimore: John Hopkins University Press.

## **Week 2. Democracy and Democratization: debate on its Strengths & Weaknesses**

### **Seminar Topics:**

**Week 3. Challenge on political equality: foundation of democracy. Democracy assumes that citizens should be treated as political equals. Should people be ruled by non-elected experts, instead of by elected political leaders?**

1. Dahl, Robert A. (1998). *On Democracy*. New Haven: Yale University Press. Ch. 6-7.
2. Dahl, Robert Alan (2006). *On Political Equality*. New Haven: Yale University Press. Ch. 2,3.
3. “What Democracy Is ... And Is Not / Schmitter, Philippe C. and Karl, Terry Lynn” in Diamond, Larry and Plattner, Marc F. (2009). *Democracy: A Reader*. Baltimore: John Hopkins University Press. (Optional)
4. “What Makes Elections Free and Fair? / Elklit, Jorgen, and Svensson, Palle” in Diamond, Larry and Plattner, Marc F. (2009). *Democracy: A Reader*. Baltimore: John Hopkins University Press. (Optional)

**Week 4. Strengths/Justifications of Democracy - Can democracy reduce the risks of famine and mass murder by states? Why or why not?**

1. Rummel, R. J. "Power, Genocide and Mass Murder", *Journal of Peace Research* 31 (1), 1994:1-10.
2. Rummel, R. J.: <http://www.hawaii.edu/powerkills/WHY.HTM>
3. Sen, Amartya (1999). “Democracy as a Universal Value”, *Journal of Democracy*, 3-17, Vol. 10, No. 3, July.
4. Sen, Amartya Kumar (1999) *Development as Freedom*. New York: Knopf, pp.146-188.
5. Rummel, R. J. *China's bloody century : genocide and mass murder since 1900*. New Brunswick, N.J.: Transaction Publishers, 1991.(Optional).
6. Rummel, R. J. *Death by government*, New Brunswick, U.S.A.: Transactions

Publishers, 1994. (optional).

**Week 5. Strengths/Justifications of Democracy II- Can democracy reduce the risk of wars and protect human freedoms? Why?**

1. Bova, Russell (1997). "Democracy and Liberty: The Cultural Connection", *Journal of Democracy*, 112-126, Vol. 8, No. 1, January.
2. Lee, James Ray (1997). "The Democratic Path to Peace", *Journal of Democracy*, 48-64, Vol. 8, No. 2, April 1997.
3. Russett, Bruce 1993. *Grasping the Democratic Peace: Principles for a Post-Cold War World*, Princeton: Princeton University Press. (optional, p.72-94)
4. Halperin, M., Siegle, J. and Weinstein, M., 2010. *The democracy advantage: How democracies promote prosperity and peace*. Routledge. Ch. 4. (Access via Ebrary. Website:  
<http://site.ebrary.com/lib.ezproxy.ust.hk/lib/hkust/detail.action?docID=10361596> )

**Week 6. What are the main features of modernization theory? How valid is the theory? Can modernisation theory be applied to Asia in general?**

1. Huntington, Samuel P. 1991. *The Third Wave: Democratization in the Late Twentieth Century*. London: University of Oklahoma Press, 1991, pp. 59-69.
2. Rich, Roland (2007). *Pacific Asia in quest of democracy*. Boulder, Colo. : Lynne Rienner Publishers. Ch. 10 (Optional)
3. Diamond, Larry Jay (2008). *The spirit of democracy : the struggle to build free societies throughout the world*. New York : Times Books/Henry Holt and Company. Chap. 10.
4. Lipset, SM. 1994. "The social requisites of democracy revisited: 1993 Presidential Address." *American Sociological Review*:1-22 (optional).
5. Lee, Junhan 2002. "Primary Causes of Asian Democratization - Dispelling Conventional Myths", *Asian Survey*, 42:6, pp. 821-837.
6. Diamond, L., (1992). "Economic development and democracy reconsidered." *American Behavioral Scientist*, Volume 35, Issue 4/5: 450 (Optional).
7. Epstein, David L., Robert Bates, Jack Goldstone, Ida Kristensen, and Sharyn O'Halloran. 2006. "Democratic Transitions." *American Journal of Political Science* 50:551-569 (Optional).

**Week 7. How relevant is political culture to establishment of democracy and democratic consolidation?**

1. Diamond, Larry J. (1999) *Developing Democracy: Toward Consolidation*. Baltimore: John Hopkins University Press, ch. 5.
2. Inglehart, Ronald. (2005). *Modernization, cultural change, and democracy : the human development sequence*. New York : Cambridge University Press. Ch. 8
3. Robert A. Dahl "Development and Democratic Culture" in Larry Diamond, Marc F. Plattner, Yun-han Chu and Hung-maoTien *Consolidating the Third Wave Democracies* (Johns Hopkins Press, 1997).
4. Inglehart, Ronald. *Modernization and Postmodernization*. Princeton: Princeton Univ.Press, 1997, ch. 6 (Optional).
5. Russell, J. and WELZEL, C., *The Civic Culture Transformed*. Cambridge: Cambridge Univ. Press, 2014. ch. 4 (optional)

**Week 8. How can civil society contribute to democratic development? Is the tension between pro-democratic civil groups and pro-democratic political parties inevitable and ubiquitous?**

1. Diamond, Larry J. (1999) *Developing Democracy: Toward Consolidation*. Baltimore: John Hopkins University Press; pp. 218-60. chapter 6.
2. Adrian Karatnycky and Peter Ackerman (2005). *How Freedom is Won: From Civic Resistance to Durable Democracy*. Washington: Freedom House.
3. Bernhard, Michael, and Ekrem Karakoc. 2007. "Civil Society and the Legacies of Dictatorship." *World Politics* 59:539-567 (Optional).
4. Tusalem, Rollin F. 2007. "A Boon or a Bane? The Role of Civil Society in Third- and Fourth-Wave Democracies." *International Political Science Review* 28:361-386 (optional).
5. Chenoweth, E. and Stephan, M.J., 2011. *Why civil resistance works: The strategic logic of nonviolent conflict*. Columbia University Press. Ch. 3, 8, 9.

**Week 9. What are the crucial features of “elite-choice” approach in explaining democratization? How useful is this approach in shedding light on democratization?**

1. Dankwart Rustow, “Transitions to Democracy: Towards a Dynamic Model,” *Comparative Politics*, April 1970, pp.337-63.
2. O'Donnell, Guillermo A. and Philippe C. Schmitter. 1986, "Tentative Conclusions about Uncertain Democracies", *Transitions from Authoritarian Rule: Prospects for Democracy*, Part IV, eds. Guillermo A. O'Donnell, Philippe C. Schmitter, & L. Whitehead, Johns Hopkins University Press, London, pp.3-72.
3. Przeworski, A. 1986, "Some Problems in the Study of the Transition to Democracy", *Transitions from Authoritarian Rule: Prospects for Democracy*, Part III, eds. Guillermo A. O'Donnell, Philippe C. Schmitter, & Laurence Whitehead, Johns Hopkins University Press, London, pp.47-63.
4. Last chapter in Collier, R. B. and J. Mahoney (1995). *Labor and Democratization: Comparing the First and Thrid Waves in Europe and Latin America*, California: University of California.

**Week 10. In the light of world-wide research, is parliamentary democracy better than presidential one for democratic survival/consolidation?**

1. Linz, Juan, "The Perils of Presidentialism.", in *Parliamentary versus presidential government* ed. by Lijphart, A. Oxford ; New York : Oxford University Press, 1992 .
2. -- -- “The Virtues of Parliamentarism”, in *Parliamentary versus presidential government* ed. by Lijphart, A. Oxford ; New York : Oxford University Press, 1992.
3. Mainwaring, Scott and Shugart, Matthew J. (1997), *Presidentialism and Democracy in Latin America*, Cambridge: Cambridge Univ. Press. Ch. 1.
4. Stepan, Alfred and Skach, Cindy (1993), "Constitutional Frameworks and Democratic Consolidation," *World Politics* 46:1-22.
5. Boix, Carles (2003). *Democracy and Redistribution* (New York: Cambridge University Press). Chapter 4. (optional).
6. Cheibub, Jose A. (2007). “What makes presidential democracies fragile”, in *Presidentialism, parliamentarism, and democracy*. NY : Cambridge University Press. Chap. 6. (Optional).

**Week 11. Is there a conflict between “Asia Values” and Western Democracy? Discuss.**

1. Chu, Yun-han ed. (2008). *How East Asians view democracy*. New York : Columbia University Press. Chap. 1 & 10 (Optional).
2. Zakaria, Fareed (1994). “Culture is destiny – A Conversation with Lee Kuan Yew”, *Foreign Affairs*, Vol. 73, Mar/Apr 1994.
3. Dalton & N. Ong (2006) “Authority Orientations and Democratic Attitudes: a test of the Asian Values Hypothesis”, in *Citizens, Democracy, and Markets around the Pacific Rim Congruence Theory and Political Culture*, ed. By Russell Dalton & D. C. Shin, N.Y.: Oxford University Press.  
(see also <http://www.worldvaluessurvey.org/library/index.html>)
4. Fukuyama, Francis (1995). “Transcending the Clash of Cultures: Confucianism and Democracy”, *Journal of Democracy*, 20-33, Vol. 6, No. 2, April 1995.
5. Sen, Amartya (1999). “Democracy as a Universal Value”, *Journal of Democracy*, 3-17, Vol. 10, No. 3, July 1999.
6. Shin, Doh Chull , 2012. *Confucianism and democratization in East Asia*. Cambridge University Press. Ch. 8, 9.
7. “Buddhism, Asian Values and Muslim Democracy / Ibrahim, Anwar” in Diamond, Larry and Plattner, Marc F. (2009). *Democracy: A Reader*. Baltimore: John Hopkins University Press (optional).

**Week 12. How do Authoritarian Regimes resist democratization? What factors shape the democratization of competitive authoritarian regimes?**

Levitsky, S., and L. Way. *Competitive Authoritarianism: Hybrid Regimes after the Cold War*: Cambridge: Cambridge University Press, 2010 (Chapter 1 and 2).

Diamond, L., 2015. Facing up to the democratic recession. *Journal of Democracy*, 26(1), pp.141-155.

Cooley, A., 2015. Countering democratic norms. *Journal of Democracy*, 26(3), pp.49-63.

Plattner, M.F., 2015. Is democracy in decline?. *Journal of Democracy*, 26(1), pp.5-10.

Kneuer, M. and Demmelhuber, T., 2016. Gravity centres of authoritarian rule: A conceptual approach. *Democratization*, 23(5), pp.775-796.



Bader, J., 2015. China, autocratic patron? An empirical investigation of China as a factor in autocratic survival. *International Studies Quarterly*, 59(1), pp.23-33 (optional).

Diamond, Larry, *In Search of Democracy*, Routledge, 2016 (optional).

● **Additional References:**

1. UST Lib. Databases: ProQuest database, Wisenews; Encyclopaedia of Britannica Online; Cambridge Online Database; JSTOR; Academic Search Premier; Oxford Journal Online; Academic Search Premier.

2. Political Science Resources website:

<http://democracy.stanford.edu/>

<http://www.ned.org/>

<http://www.ndi.org/>

<http://www.democ.uci.edu/>

3. Major relevant journals: *Journal of Democracy*; *Democratization*; *Comparative Politics*; *Comparative Political Studies*; *Journal of Politics*; *American Journal of Political Science*; *World Politics*; *Asian Survey*; *Journal of East Asian Studies*; *Government & Opposition*; *British Journal of Political Science*; *Third World Quarterly*; *International Political Science Review*.

4. Others:

a. An important internet-based collection of interviews by think-tanks: <http://fora.tv/>

b. Nowtv live: <http://news.now.com/home/live> (internet)

3G version for lived TV news is also available.

c. Cable TV news: <http://cablenews.i-cable.com/webapps/index/index.php>

d. <http://programme.rthk.org.hk/rthk/tv/index.php?c=tv>, especially:

議事論事

[http://programme.rthk.org.hk/rthk/tv/programme.php?name=legco\\_review&d=2010-02-04&p=866&e=&m=episode](http://programme.rthk.org.hk/rthk/tv/programme.php?name=legco_review&d=2010-02-04&p=866&e=&m=episode)

f. Pulse

<http://programme.rthk.org.hk/rthk/tv/programme.php?name=thepulse&d=2010-02-05&p=2862&e=&m=episode>

e. 鏗鏘集

<http://programme.rthk.org.hk/rthk/tv/programme.php?name=hkcc&d=2010-02-07&p=858&e=&m=episode>

f. Hong Kong Connection

<http://programme.rthk.org.hk/rthk/tv/programme.php?name=hkce&d=2010-02-04&p=1981&e=&m=episode>

g. 新聞透視

<http://programme.tvb.com/news/newsmagazine/episode/>

h. OUR TV: internet-based TV station with over a thousand programs recorded that cannot be found in mainstream TV stations:

<https://www.ourtv.hk/>

i. another internet-based TV station with over a thousand programs recorded that cannot be found in mainstream TV

stations:<http://www.socrec.org/>

j. 獨立媒體 <http://www.inmediahk.net/> : a critical and high-quality internet-based newspaper

k. A useful collection of high-quality local newspaper articles:

<http://commentshk.blogspot.com/>

l. <http://www.ddepot.org/>

m · National Democratic Institute

<http://www.ndi.org/worldwide/asia/hongkong/hongkong.asp> : an international body concerning HK's elections and democracy.

n. A bi-monthly magazine with special issue 《思》雙月刊

<http://www.hkcidata.org/database/sze/sze.html>

o. 正義和平委員會 <http://www.hkjp.org/index.htm>

p. Hong Kong people reporter: <http://www.hkreporter.com/>

q. News stories on Mainland China: <http://cablenews.i-cable.com/webapps/program/hottalk/hottalk.php>

l. Weekly TV program on China 神州穿梭:

<http://cablenews.i-cable.com/webapps/program/china.php>

m. Stanford University –Center on Democracy: <http://cddrl.stanford.edu/>

n. Freedom House: <http://www.freedomhouse.org/>

o. World Movement for Democracy: <http://www.wmd.org/>

p. Civil resistance net: <http://www.civilresistance.tv/>

- **Learning environment**

*Please refer to the HKUST good learning experience site at  
[http://www.ust.hk/vpaao/conduct/good\\_learning\\_experience.pps/](http://www.ust.hk/vpaao/conduct/good_learning_experience.pps/)*

*Please turn off your mobile phone/pager and be quiet during class hours to maximize the educational effect.*