

Politics 355
Governing Instruments
(05-3)

Class Time: Thursday 1:30-5:20 AQ5014
Class E-Mail List: pol355-d1@sfu.ca

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Office Hours: Thursday 12:30-1:30

NOTE: This outline is also available through the Class WWW Site
(<http://www.sfu.ca/~howlett/courses.html>)

Outline:

This course introduces students to the study of the instruments used by governments in carrying out their tasks and adapting to, and altering, their environments. An essential component of modern governance, substantive and procedural policy instruments together comprise the toolbox from which governments must choose in attempting to resolve policy problems. The course begins with the establishment of a framework for analyzing governing instruments and moves on to consider the merits, demerits and rationales for the use of specific organization, regulatory, financial and information-based tools. The issue of instrument mixes and their design is addressed. Finally, the manner in which instrument change relates to overall policy change is assessed.

Required Texts

Eliadis, Pearl, Margaret Hill, and Michael Howlett, ed. Designing Government: From Instruments to Governance. Montreal: McGill-Queen's University Press, 2005.

Salamon, Lester M., ed. The Tools of Government: A Guide to the New Governance. New York: Oxford University Press, 2002.

Recommended Texts

Marie-Louise Bemelmans-Videc, Ray C. Rist and Evert Vedung eds., Carrots, Sticks and Sermons: Policy Instruments and Their Evaluation New Brunswick, N.J., Transaction Publishers, 1998.

B. Guy Peters and F. K. M. Van Nispen, eds. Public Policy Instruments : Evaluating the Tools of Public Administration, New York: Edward Elgar Pub August 1998.

Requirements and Marking:

1. There will be a final examination worth 40 percent of the course mark. It will be held from 8:30-11:30 am Saturday December 17. Room TBA.

2. One 15-20 page paper is due at the end of term and is worth 50 percent of the class mark. Papers should be typed, double-spaced and properly formatted. Papers are due on the last day of class. **LATE PAPERS WILL LOSE TEN PERCENT PER DAY LATE.**

3. A 3-5 page outline of the paper is due by e-mail in Week VIII. The outline should set out the general argument to be made in the paper, the methodology to be followed, and include appropriate traditional and non-traditional (WWW) bibliographic references. The outline will be returned in Week VIII and will account for 10 percent of the paper grade. **LATE OUTLINES WILL RECEIVE A ZERO GRADE.**

4. Ten (10) percent of the course mark will be awarded on the basis of class participation. This includes the oral presentation of a reading from the recommended readings in weeks IV-VII or IX-XII when that section is covered in class. **LATE PRESENTATIONS WILL RECEIVE A ZERO GRADE.**

Paper Topic:

Choose either a substantive or a procedural policy instrument and set out the theoretical explanation for its use. Examine an example of its use in Canada. Why was it used in this case? How does this empirical case study finding compare with the theoretical rationale put forward? What does this tell us about the strengths and weaknesses of existing theories of policy instrument choice?

NOTE: Students may find the supplementary bibliography of Canadian materials located at <http://www.sfu.ca/~howlett/355011BIB.html> useful in developing ideas for case studies. Papers are due on the last day of class.

WEEKLY READING LIST

*NOTE: All **required** readings have been placed on reserve in Bennett Library*

WEEK I: INTRODUCTION: POLICY INSTRUMENTS AND THE NEW GOVERNANCE

Required Reading:

Salamon, Lester M. "The New Governance and the Tools of Public Action." In L. M. Salamon, ed(s), The Tools of Government: A Guide to the New Governance, New York: Oxford University Press, 2002. 1-47.

Balch, George I. "The Stick, the Carrot, and Other Strategies: A Theoretical Analysis of Governmental Intervention." Law and Policy Quarterly. 2, no. 1 (1980): 35-60.

Recommended Reading:

Salamon, Lester. "Rethinking Public Management: Third Party Government and the Changing Forms of Government Action." Public Policy 29, no. 3 (1981): 255-275

Woodside, K. "Policy Instruments and the Study of Public Policy." Canadian Journal of Political Science. 19, no. 4 (1986): 775-793.

Grabosky, Peter N. "Using Non-Governmental Resources to Foster Regulatory Compliance." Governance. 8, no. 4 (1995): 527-550.

Jan Kooiman, "Governance and Governability: Using Complexity, Dynamics and Diversity" in J. Kooiman ed. Modern Governance (London: Sage, 1993) pp. 35-50

WEEK II: INTRODUCTION: POLICY INSTRUMENTS AND THEIR ANALYSIS

Required Reading:

Howlett, Michael. "What is a Policy Instrument? Policy Tools, Policy Mixes and Policy Implementation Styles." In P. Eliadis, M. Hill and M. Howlett, ed(s), Designing Government: From Instruments to Governance, Montreal: McGill-Queen's University Press, 2005. 31-50.

Peters, B. Guy. "The Problem of Policy Problems." In P. Eliadis, M. Hill and M. Howlett, ed(s), Designing Government: From Instruments to Governance, Montreal: McGill-Queen's University Press, 2005. 77-105.

Recommended Reading:

Howlett, Michael. "Policy Instruments, Policy Styles, and Policy Implementation: National Approaches to Theories of Instrument Choice." Policy Studies Journal, 19, no. 2 (1991): 1-21.

Linder, Stephen H. and B. Guy Peters. "Instruments of Government: Perceptions and Contexts." Journal of Public Policy, 9, no. 1 (1989): 35-58.

de Bruijn, J.A. and E.F. ten Heuvelhof. "Instruments for Network Management." In W. J. M. Kickert, E.-H. Klijn and J. F. M. Koppenjan, ed(s), Managing Complex Networks: Strategies for the Public Sector, London: Sage, 1997. 119-136.

Bemelmans-Videc, Marie-Louise and Evert Vedung. "Conclusion: Policy Instrument Types, Packages, Choices and Evaluation." In M. L. Bemelmans-Videc, R. C. Rist and E. Vedung, ed(s), Carrots, Sticks and Sermons: Policy Instruments and Their Evaluation, New Brunswick: Transaction Publishers, 1997. 249-273.

WEEK III: POLICY INSTRUMENT THEORY (I): SUBSTANTIVE POLICY INSTRUMENTS

Required Reading:

Salamon, Lester M. and Michael S. Lund. "The Tools Approach: Basic Analytics." In Beyond Privatization: The Tools of Government Action, edited by L. S. Salamon. Washington D.C: Urban Institute, 1989. pp. 23-50

Peters, B. Guy. "The Politics of Tool Choice." In L. M. Salamon, ed(s), The Tools of Government: A Guide to the New Governance, New York: Oxford University Press, 2002. 552-564.

Recommended Reading:

Christopher Hood, The Tools of Government Chatham: Chatham House, 1986 pp. 1-15 and chapters 2-5 (recommended)

Hood, Christopher. "Using Bureaucracy Sparingly." Public Administration, 61, no. 2 (1983): 197-208.

Vedung, Evert. "Policy Instruments: Typologies and Theories." In M. L. Bemelmans-Videc, R. C. Rist and E. Vedung, ed(s), Carrots, Sticks and Sermons: Policy Instruments and Their Evaluation, New Brunswick: Transaction Publishers, 1997. 21-58.

Baxter-Moore, N. (1987). Policy Implementation and the Role of the State: A Revised Approach to the Study of Policy Instruments. Contemporary Canadian Politics: Readings and Notes. R. J. Jackson, D. Jackson and N. Baxter-Moore. Scarborough, Prentice-Hall: 336-355.

WEEK IV: SUBSTANTIVE POLICY INSTRUMENTS (I): ORGANIZATIONAL INSTRUMENTS

Required Reading:

Leman, Christopher K. "Direct Government." In L. M. Salamon, ed(s), The Tools of Government: A Guide to the New Governance, New York: Oxford University Press, 2002. 48-79.

Stanton, Thomas H. and Ronald C. Moe. "Government Corporations and Government-sponsored Enterprises." In L. M. Salamon, ed(s), The Tools of Government: A Guide to the New Governance, New York: Oxford University Press, 2002. 80-116.

Recommended Reading:

Kernaghan, Kenneth. "Partnership and Public Administration: Conceptual and Practical Considerations." Canadian Public Administration. 36, no. 1 (1993): 57-76.

Trebilcock, M.J. and J.R.S. Prichard. "Crown Corporations: The Calculus of Instrument Choice." In J. R. S. Prichard, ed(s), Crown Corporations in Canada: The Calculus of Instrument Choice, Toronto: Butterworths, 1983. 1-50.

Tupper, Allan and G. Bruce Doern. "Canadian Public Enterprise and Privatization." In A. Tupper and G. B. Doern, ed(s), Privatization, Public Policy and Public Corporations in Canada, Montreal: Institute for Research on Public Policy, 1988. 1-50.

Savas, Emmanuel S. "A Taxonomy of Privatization Strategies." Policy Studies Journal. 18, no. 2 (1989/90): 343-55.

WEEK V: SUBSTANTIVE POLICY INSTRUMENTS (II): AUTHORITATIVE INSTRUMENTS

Required Reading:

Salamon, Lester A. "Economic Regulation." In L. M. Salamon, ed(s), The Tools of Government: A Guide to the New Governance, New York: Oxford University Press, 2002. 117-155.

Cohen, David. "The Role of the State in a Privatized Regulatory Environment." In K. Webb, ed(s), Voluntary Codes: Private Governance, the Public Interest and Innovation, Ottawa: Carleton Research Unit on Innovation, Science and Environment, 2004. 35-56.

Recommended Reading:

Keyes, John Mark. "Power Tools: The Form and Function of Legal Instruments for Government Action." Canadian Journal of Administrative Law and Practice. 10(1996): 133-174.

Cashore, Benjamin. "Legitimacy and the Privatization of Environmental Governance: How Non-State Market-Driven(NSMD) Governance Systems Gain Rule-Making Authority." Governance. 15, no. 4 (2002): 503-529.

Ziller, Jacques. "Public Law: A Tool for Modern Management, Not an Impediment to Reform." International Review of Administrative Sciences. 71, no. 2 (2005): 267-277.

Crew, M. A. and C. K. Rowley (1986). "Deregulation as an Instrument in Industrial Policy." Journal of institutional and Theoretical Economics 142: 52-70.

WEEK VI: SUBSTANTIVE POLICY INSTRUMENTS (III): FINANCIAL INSTRUMENTS

Required Reading:

Frans L. Leeuw, "The Carrot: Subsidies as a Tool of Government" in Marie-Louise Bemelmans-Videc, Ray C. Rist and Evert Vedung eds., Carrots, Sticks and Sermons: Policy Instruments and Their Evaluation New Brunswick, N.J., Transaction Publishers, 1998 pp. 77-102

Beam, David A. and Timothy J. Conlan. "Grants." In L. M. Salamon, ed(s), The Tools of Government: A Guide to the New Governance, New York: Oxford University Press, 2002. 340-380 and Howard, Christopher. "Tax Expenditures." In L. M. Salamon, ed(s), The Tools of Government: A Guide to the New Governance, New York: Oxford University Press, 2002. 410-444.

Recommended Reading:

Kelman, Steven J. "Contracting." In L. M. Salamon, ed(s), The Tools of Government: A Guide to the New Governance, New York: Oxford University Press, 2002. 282-318.

Cordes, Joseph J. "Corrective Taxes, Charges and Tradable Permits." In L. M. Salamon, ed(s), The Tools of Government: A Guide to the New Governance, New York: Oxford University Press, 2002. 255-281.

Stanton, Thomas H. "Loans and Loan Guarantees." In L. M. Salamon, ed(s), The Tools of Government: A Guide to the New Governance, New York: Oxford University Press, 2002. 381-409.

Woodside, K. (1983). The Political Economy of Policy Instruments: Tax Expenditures and Subsidies in Canada. The Politics of Canadian Public Policy. M. Atkinson and M. Chandler. Toronto, University of Toronto Press: 173-197.

WEEK VII: SUBSTANTIVE POLICY INSTRUMENTS (IV): INFORMATIONAL INSTRUMENTS

Required Reading:

Weiss, Janet A. "Public Information." In L. M. Salamon, ed(s), The Tools of Government: A Guide to the New Governance, New York: Oxford University Press, 2002. 217-254.

Evert Vedung and Frans C.J. van der Doelen, "The Sermon: Information Programs in the Public Policy Process - Choice, Effects and Evaluation" in Marie-Louise Bemelmans-Videc, Ray C. Rist and Evert Vedung eds., Carrots, Sticks and Sermons: Policy Instruments and Their Evaluation New Brunswick, N.J., Transaction Publishers, 1998 pp. 103-128

Recommended Reading:

Romans, J. T. (1966). "Moral Suasion as an Instrument of Economic Policy." The American Economic Review 56(5): 1220-1226.

Jahn, Gabriele, Matthias Schramm, and Achim Spiller. "The Reliability of Certification: Quality Labels as a Consumer Policy Tool." Journal of Consumer Policy. 28(2005): 53-73.

Salmon, Charles. "Campaigns for Social Improvement: An Overview of Values, Rationales, and Impacts." In C. Salmon, ed(s), Information Campaigns: Managing the Process of Social Change, Newberry Park: Sage, 1989. 1-32.

Stanbury, W.T. and Jane Fulton. "Suasion as a Governing Instrument." In A. Maslove, ed(s), How Ottawa Spends 1984: The New Agenda, Toronto: Lorimer, 1984. 282-324.

WEEK VIII: POLICY INSTRUMENT THEORY (II): PROCEDURAL POLICY INSTRUMENTS

Required Reading:

Howlett, Michael. "Managing the "Hollow State": Procedural Policy Instruments and Modern Governance." Canadian Public Administration. 43, no. 4 (2000): 412-431

Issalys, Pierre. "Choosing among Forms of Public Action: A Question of Legitimacy." In P. Eliadis, M. Hill and M. Howlett, ed(s), Designing Government: From Instruments to Governance, Montreal: McGill-Queen's University Press, 2005. 154-181.

Recommended Reading:

Lindquist, Evert A. "Public Managers and Policy Communities: Learning to Meet New Challenges." Canadian Public Administration. 35, no. 2 (1992): 127-159.

Rathgeb-Smith, Steven and Helen Ingram. "Policy Tools and Democracy." In L. M. Salamon, ed(s), The Tools of Government: A Guide to the New Governance, New York: Oxford University Press, 2002. 565-584.

Johan A. de Bruijn and Ernst F. ten Heuvelhof, "Policy Networks and Governance" in David L. Weimer ed., Institutional Design Boston: Kluwer Academic Publishers, 1995 pp. 161-179

Kickert, W. J. M. and J. F. M. Koppenjan (1997). Public Management and Network Management: An Overview. Managing Complex Networks: Strategies for the Public Sector. W. J. M. Kickert, E.-H. Klijn and J. F. M. Koppenjan. London, Sage: 35-61.

**** OUTLINES DUE**

WEEK IX: PROCEDURAL POLICY INSTRUMENTS (I): ORGANIZATIONAL INSTRUMENTS

Required Reading:

Peters, B. Guy. "Government Reorganization: A Theoretical Analysis." International Political Science Review. 13, no. 2 (1992): 199-218.

McCubbins, Mathew D., Roger G. Noll, and Barry R. Weingast. "Administrative Procedures as Instruments of Political Control." Journal of Law, Economics, and Organization. 3, no. 2 (1987): 243-277.

Recommended Reading:

Posner, Paul L. "Accountability Challenges of Third-Party Government." In L. M. Salamon, ed(s), The Tools of Government: A Guide to the New Governance, New York: Oxford University Press, 2002. 523-551.

Hood, Christopher. "Control, Bargains and Cheating: The Politics of Public Service Reform." Journal of Public Administration Research and Theory. 12, no. 3 (2002): 309-332.

Bellehumeur, Robert. "Review: An Instrument of Change." Optimum. 27, no. 1 (1997): 37-42.

Leech, Beth L. et al. "Drawing Lobbyists to Washington: Government Activity and the Demand for Advocacy." Political Research Quarterly. 58, no. 1 (2005): 19-30.

WEEK X: PROCEDURAL POLICY INSTRUMENTS (II): AUTHORITATIVE INSTRUMENTS

Required Reading:

Smith, Thomas B. "Advisory Committees in the Public Policy Process." International Review of Administrative Sciences, 43, no. 2 (1977): 153-166.

Hall, Thad E. and Laurence J. O'Toole. "Shaping Formal Networks through the Regulatory Process." Administration & Society, 36, no. 2 (2004): 186-207.

Recommended Reading:

Brown, D. S. (1955). "The Public Advisory Board as an Instrument of Government." Public Administration Review 15: 196-201 and Brown, D. S. (1972). "The Management of Advisory Committees; An Assignment for the '70's." Public Administration Review 32: 334-342.

Dion, Leon. "The Politics of Consultation." Government and Opposition, 8, no. 3 (1973): 332-353.

Bryson, John M. and Barbara C. Crosby. "Policy Planning and the Design and Use of Forums, Arenas, and Courts." In B. Bozeman, ed(s), Public Management: The State of the Art, San Francisco: Jossey-Bass, 1993.

Pollack, Mark A. "Control Mechanism or Deliberative Democracy? Two Images of Comitology." Comparative Political Studies, 36, no. 1/2 (2003): 125-155.

WEEK XI: PROCEDURAL POLICY INSTRUMENTS (III): FINANCIAL INSTRUMENTS

Required Reading:

Anthony Nownes and Grant Neeley, "Toward an Explanation for Public Interest Group Formation and Proliferation: "Seed Money", Disturbances, Entrepreneurship, and Patronage" in Policy Studies Journal, 24(1) 1996 pp. 74-92.

Juillet, Luc et al. "The Impact of Changes in the Funding Environment on Nonprofit Organizations." In K. L. Brock and K. G. Banting, ed(s), The Nonprofit Sector and Government in a New Century, Montreal: McGill-Queens University Press, 2001. 21-62.

Recommended Reading:

Young, Lisa and Joanna Everitt. Advocacy Groups. Vancouver: UBC Press, 2004. Pp. 67-86

Leslie A. Pal, Interests of State: The Politics of Language, Multiculturalism, and Feminism in Canada Kingston: McGill-Queen's University Press, 1993] pp. 42-58 (and chapters 7-9 recommended)

Sharpe, D. (2001). The Canadian Charitable Sector: An Overview. Between State and Market: Essays on Charities Law and Policy in Canada. J. Phillips, B. Chapman and D. Stevens. Toronto, University of Toronto Press. 13-48.

Phillips, S. D. (1991). How Ottawa Blends: Shifting Government Relationships With Interest Groups. How Ottawa Spends 1991-92: The Politics of Fragmentation. F. Abele. Ottawa, Carleton University Press: 183-228.

WEEK XII: THE POLICY CYCLE (V): PROCEDURAL POLICY INSTRUMENTS (IV):
INFORMATIONAL INSTRUMENTS

Required Reading:

Wraith, R.E. and G.B. Lamb. Public Inquiries as an Instrument of Government. London: George Allen and Unwin, 1971. Pp. 302-323

Bennett, Colin and Robin Bayley. "The New Public Administration: Canadian Approaches to Access and Privacy." In M. W. Westmacott and H. P. Mellon, ed(s), Public Administration and Policy: Governing in Challenging Times, Scarborough: Prentice Hall Allyn and Bacon, 1999. 189-201.

Recommended Reading:

Chapman, Richard A. "Commissions in Policy-Making." In R. A. Chapman, ed(s), The Role of Commissions in Policy-Making, London: George Allen and Unwin, 1973. 174-188.

Saward, Michael. "Cooptation and Power: Who Gets What From Formal Incorporation." Political Studies. 38(1990): 588-602.

Sheriff, Peta E. "State Theory, Social Science, and Governmental Commissions." American Behavioural Scientist. 26, no. 5 (1983): 669-680.

Adcroft, Andy and Robert Willis. "The (Un)Intended Outcome of Public Sector Performance Measurement." International Journal of Public Sector Management. 18, no. 5 (2005): 386-400.

WEEK XIII: POLICY INSTRUMENT THEORY (III): POLICY MIXES AND GOVERNANCE STRATEGIES

Required Reading:

Webb, Kernaghan. "Sustainable Governance in the Twenty-First Century: Moving Beyond Instrument Choice." In P. Eliadis, M. Hill and M. Howlett, ed(s), Designing Government: From Instruments to Governance, Montreal: McGill-Queen's University Press, 2005. 242-280.

Gunningham, Neil, Peter Grabosky, and Darren Sinclair. Smart Regulation: Designing Environmental Policy. Oxford: Clarendon Press, 1998. Pp. 422-453

Recommended Reading:

Howlett, Michael and Jeremy Rayner. "(Not so) 'Smart Regulation'? Canadian Shellfish Aquaculture Policy and the Evolution of Instrument Choice for Industrial Development." Marine Policy. 28, no. 2 (2004): 171-184.

Knill, Christopher. "European Policies: The Impact of National Administrative Traditions." Journal of Public Policy. 18, no. 1 (1998): 1-28.

Kagan, Robert A. "Adversarial Legalism and American Government." Journal of Policy Analysis and Management. 10, no. 3 (1991): 369-406.

Howlett, M. (2000). "Beyond Legalism? Policy Ideas, Implementation Styles and Emulation-Based Convergence in Canadian and U.S. Environmental Policy." Journal of Public Policy 20(3): 305-329.

**** Papers Due**

Final Exam 8:30-11:30 am Saturday December 17, 2005. Location: TBA