

## **POL 456 Governing Instruments/POL 853 Public Administration**

2012-1

Time: Thursday 1:30-5:20

Location: HC Campus HCC 3122

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Office Hours: Thursday 12:30-1:20

### **Overview:**

This course focuses on the elements of policy design and examines policy formulation and implementation, and the instruments used by governments in carrying out these tasks. Essential components of modern public administration and governance, substantive and procedural governing 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 examines their role in policy formulation and implementation before moving on to consider the merits, demerits and rationales for the use of different kinds of organization, regulatory, financial and information-based instruments. Throughout the course the need to carefully design policies in order to ensure effective implementation is stressed.

### **Required Texts:**

Howlett, Michael. *Designing Public Policies: Principles and Instruments*. New York: Routledge, 2011.

### **Recommended Texts:**

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

### **Grading:**

1. Class Presentations (2) – 20%
2. Term Paper – 60%
3. Term Paper Presentation – 10%
4. Class Participation – 10%

### **Class Presentations:**

At the beginning of term, each student will be assigned two weeks for which he/she will comment on the theoretical and methodological issues raised in that week's topic through a review of selected readings from the week's reading list. Missed assignments will receive a zero (0) grade. Students who are not presenting are expected to read the material covered in the overview readings and in that week's presentations, and to comment upon and critique class presentations in order to contribute to the development of a common understanding of conceptual and methodological issues of interest to scholars engaged in research into public administration, policy implementation and policy design.

### **Paper Topics:**

No later than mid-term (Week VII), each student will identify a general policy implementation instrument category and an example of a specific policy tool. The term paper will address the nature of the policy design considerations and processes surrounding the choice of this tool. This may take the form of either (a) the development of a general model of the use and selection of the chosen implementation instrument developed from a critical reading of existing conceptual works on the subject; (b) an empirical examination of an actual instance of its use in order to test an existing theory of instrument choice; or (c) both. Preliminary drafts of the term papers will be presented to class in Weeks XI-XIII. Papers are due one week after the last day of class. Late papers will lose 10% per day late.

## Weekly Topics and Reading List

### **Week I (January 5) – Introduction and Administration: Policy Implementation, Governance, Public Administration and Policy Design**

#### *Overview:*

- Howlett, Michael. *Designing Public Policies: Principles and Instruments*. New York: Routledge, 2011. Chapter 10
- Lester M. Salamon, "The Tools Approach and the New Governance: Conclusion and Implications" in Salamon, L. M. *The Tools of Government: A Guide to the New Governance*. New York: Oxford University Press, 2002. Pp. 600-611
- Bobrow, Davis. "Policy Design: Ubiquitous, Necessary and Difficult." In *Handbook of Public Policy*, edited by B. Guy Peters and Jon Pierre 75-96. Sage, 2006.

#### ***Background Reading:***

\*\* Students who are unfamiliar with any of the following concepts should cover the associated readings listed below ***prior to the start of the second class.***

#### *a. Public Administration*

- Bekke, H. A. J. G. M. "Studying the Development and Transformation of Civil Service Systems: Processes of De-Institutionalization." *Research in Public Administration* 5 (1999): 1-18.
- Gladden, E. N. *A History of Public Administration*. London: Frank Cass, 1972.
- Barzelay, Michael, and Fred Thompson. "Back to the Future: Making Public Administration a Design Science." *Public Administration Review* 70, no. 1 (2010): s295-s297.
- Schneider, A., and H. Ingram. "Social Constructions and Policy Design: Implications for Public Administration." *Research in Public Administration* 3 (1994): 137-173.
- Raadschelders, Jos C. N. "Understanding Government: Four intellectual Traditions in the Study of Public Administration." *Public Administration* 86, no. 4 (2008): 925-949.

#### *b. Policy Implementation:*

- Howlett, Michael, Anthony Perl and M. Ramesh. *Studying Public Policy: Policy Cycles and Policy Subsystems*. Toronto: Oxford University Press, 2009 Ch 7
- Puzl, Helga and Oliver Treib, 2007. "Implementing Public Policies." In *Handbook of Public Policy Analysis: Theory, Politics and Methods*, ed. Frank Fischer, Gerald J. Miller and Mara S. Sidney. Boca Raton: CRC Press, 89-108.
- O'Toole, L. J. "Research on Policy Implementation: Assessment and Prospects." *Journal of Public Administration Research and Theory* 10, no. 2 (2000): 263-288.
- Hill, M., and P. Hupe. *Implementing Public Policy: Governance in Theory and Practice*. London: Sage Publications, 2002.
- May, Peter. "Policy Design and Implementation." In *Handbook of Public Administration*, edited by B. Guy Peters, 223-233. Beverly Hills: Sage Publications, 2003.

#### *c. Governance:*

- Jochim, Ashley E., and Peter J. May. "Beyond Subsystems: Policy Regimes and Governance." *Policy Studies Journal* 38, no. 2 (2010): 303-327.
- Kassim, Hussein, and Patrick Le Galès. "Exploring Governance in a Multi-Level Polity: A Policy Instruments Approach." *West European Politics* 33, no. 1 (2010): 1-21.
- Vigoda, E. "From Responsiveness to Collaboration: Governance, Citizens, and the Next Generation of Public Administration." *Public Administration Review*. 62, no. 5 (2002): 527-540.
- Kjaer, A. M. *Governance*. London: Polity, 2004.
- Robichau, Robbie Waters. "The Mosaic of Governance: Creating a Picture with Definitions, Theories, and Debates." *Policy Studies Journal* 39 (2011): 113-131.

#### *d. Design & Policy Design:*

- Schön, D.A. "Designing as reflective conversation with the materials of a design situation." *Knowledge-Based Systems* 5, no. 1 (March 1992): 3-14.
- Schön, Donald A. "Designing: Rules, types and words." *Design Studies* 9, no. 3 (July 1988): 181-190.
- Dryzek, J. S., and B. Ripley. "The Ambitions of Policy Design." *Policy Studies Review* 7, no. 4 (1988): 705-719.

- Bobrow, D. B., and J. S. Dryzek. *Policy Analysis by Design*. Pittsburgh: University of Pittsburgh Press, 1987.
- Linder, S. H., and B. G. Peters. "From Social Theory to Policy Design." *Journal of Public Policy* 4, no. 3 (1984): 237-259.

## **Week II (January 12) – Policy Design: Definitions and Contexts**

### *Overview:*

- Howlett, Michael. *Designing Public Policies: Principles and Instruments*. New York: Routledge, 2011. Chapters 1 and 2
- Salamon, Lester M. "The New Governance and the Tools of Public Action: An Introduction" in Salamon, L. M. *The Tools of Government: A Guide to the New Governance*. New York: Oxford University Press, 2002. Pp. 1-47
- Smith, Steven Rathgeb and Helen Ingram, "Policy Tools and Democracy" in Salamon, L. M. *The Tools of Government: A Guide to the New Governance*. New York: Oxford University Press, 2002. Pp. 565-584
- Ingraham, P. "Toward More Systematic Considerations of Policy Design." *Policy Studies Journal* 15, no. 4 (1987): 611-628.

### *Background:*

- Weimer, D. L. "The Craft of Policy Design: Can It Be More Than Art?" *Policy Studies Review* 11, no. 3/4 (1992): 370-388.
- Weimer, D. L. "Claiming Races, Broiler Contracts, Heresthetics, and Habits: Ten Concepts for Policy Design." *Policy Sciences* 25 (1992): 135-159.
- Schneider, A. L., and H. Ingram. "Behavioural Assumptions of Policy Tools." *Journal of Politics* 52, no. 2 (1990): 511-529.
- Van Kersbergen, K., and F. Van Waarden. "'Governance' as a Bridge Between Disciplines: Cross-Disciplinary Inspiration Regarding Shifts in Governance and Problems of Governability, Accountability and Legitimacy." *European Journal of Political Research* 43, no. 2 (2004): 143-172.
- Treib, Olivier, Holger Bahr, and Gerda Falkner. "Modes of Governance: Towards a Conceptual Clarification." *Journal of European Public Policy* 14, no. 1 (2007): 1-20.
- Kooiman, Jan. "Exploring the Concept of Governability." *Journal of Comparative Policy Analysis* 10, no. 2 (2008): 171-190.

### *Issues:*

- Le Grand, J. "The Theory of Government Failure." *British Journal of Political Science* 21, no. 4 (1991): 423-442.
- Wolf Jr, C. "Markets and Non-Market Failures: Comparison and Assessment." *Journal of Public Policy* 7, no. 1 (1987): 43-70.
- Stern, Thomas. *Policy Instruments for Environmental and Natural Resource Management*. Washington DC: Resources for the Future, 2003. Pp. 212-221
- Weiss, L. "The State-Augmenting Effects of Globalisation." *New Political Economy* 10, no. 3 (2005): 345-353.
- Weiss, Linda. *States in the Global Economy: Bringing Domestic Institutions Back In*. Cambridge: Cambridge University Press, 2003.
- Hill, C. J., and L. E. Lynn. "Is Hierarchical Governance in Decline? Evidence from Empirical Research." *Journal of Public Administration Research and Theory* 15, no. 2 (2004): 173-195.
- Treib, Oliver, Holger Bahr, and Gerda Falkner. "Social Policy and Environmental Policy: Comparing Modes of Governance." In *The Dynamics of Change in EU Governance*, edited by Udo Diedrichs, Wulf Reiners, and Wolfgang Wessels, 103-131. Edward Elgar Pub, 2011.
- Majone, Giandomenico. "From the Positive to the Regulatory State: Causes and Consequences of Changes in the Mode of Governance." *Journal of Public Policy* 17, no. 2 (1997): 139-167.
- Weber, Miriam, Peter P.J. Driessen, and Hens A.C. Runhaar. "Drivers of and Barriers to Shifts in Governance: Analysing Noise Policy in the Netherlands." *Journal of Environmental Policy & Planning* 13, no. 2 (June 2011): 119-137.
- Goodwin, Mark and Jonathan Grix. "Bringing Structures Back In: The 'Governance Narrative', the 'Decentred Approach' and 'Assymetrical Network Governance' in the Education and Sport Policy Communities." *Public Administration* 89, no. 2 (June 1, 2011): 537-556.

- Capano, Giliberto. "Government Continues to Do Its Job: A Comparative Study of Governance Shifts in the Higher Education Sector." *Public Administration* (n.d.). <http://onlinelibrary.wiley.com/doi/10.1111/j.1467-9299.2011.01936.x/abstract>.
- Grix, Jonathan, and Lesley Phillpots. "Revisiting the 'Governance Narrative'." *Public Policy and Administration* 26, no. 1 (January 1, 2011): 3 -19.

### **Week III (January 19) – Policy Design in the Policy Process: Policy Formulation**

#### *Overview:*

- Howlett, Michael. *Designing Public Policies: Principles and Instruments*. New York: Routledge, 2011. Chapter 3
- Peters, B. Guy "The Politics of Tool Choice" in Salamon, L. M. *The Tools of Government: A Guide to the New Governance*. New York: Oxford University Press, 2002. Pp. 552-564
- Thomas, H. G. "Towards a new higher education law in Lithuania: reflections on the process of policy formulation." *Higher Education Policy* 14, no. 3 (2001): 213-223.

#### *Background:*

- Meltsner, A. J. *Policy Analysts in the Bureaucracy*. Berkeley: University of California Press, 1976.
- Linder, S. H., and B. G. Peters. "Policy Formulation and the Challenge of Conscious Design." *Eval.Program Plann.* 13 (1990): 303-311.
- Linder, S. H., and B. G. Peters. "Research Perspectives on the Design of Public Policy: Implementation, Formulation, and Design." In *Implementation and the Policy Process: Opening up the Black Box*, edited by D. J. Palumbo and D. J. Calista, 51-66. New York: Greenwood Press, 1990.
- Halligan, John. "Policy Advice and the Public Sector." In *Governance in a Changing Environment*, edited by B. Guy Peters and Donald T. Savoie, 138-172. Montreal: McGill-Queen's University Press, 1995.
- Page, E. C., and B. Jenkins. *Policy Bureaucracy: Governing with a Cast of Thousands*. Oxford: Oxford University Press, 2005.

#### *Issues:*

- Howlett, Michael. "Policy Advice in Multi-Level Governance Systems: Sub-National Policy Analysts and Analysis." *International Review of Public Administration* 13, no. 3 (2009): 1-16.
- Page, Edward C. "Bureaucrats and expertise: Elucidating a problematic relationship in three tableaux and six jurisdictions." *Sociologie du Travail* 52, no. 2 (2010): 255-273.
- Howlett, Michael, and Adam Wellstead. "Policy Analysts in the Bureaucracy Revisited: The Nature of Professional Policy Work in Contemporary Government." *Politics & Policy* 39, no. 4 (August 1, 2011): 613-633
- Dunlop, Claire A. "Policy Transfer as Learning: Capturing Variation in What Decision-Makers Learn from Epistemic Communities." *Policy Studies* 30, no. 3 (2009): 289-311.
- Howlett, Michael, and Sima Joshi-Koop. "Transnational learning, policy analytical capacity, and environmental policy convergence: Survey results from Canada." *Global Environmental Change* 21, no. 1 (February 2011): 85-92.
- Schneider, A., and H. Ingram. "Systematically Pinching Ideas: A Comparative Approach to Policy Design." *Journal of Public Policy* 8, no. 1 (1988): 61-80.
- Weimer, David L. "The Current State of Design Craft: Borrowing, Tinkering, and Problem Solving." *Public Administration Review* 53, no. 2 (April 1993): 110-120.
- Majone, G. "On the Notion of Political Feasibility." *European Journal of Political Research* 3 (1975): 259-274.
- Skodvin, Tora, Anne Therese Gullberg, and Stine Aakre. "Target-group influence and political feasibility: the case of climate policy design in Europe." *Journal of European Public Policy* 17, no. 6 (2010): 854.
- Ingram, Helen, Anne L. Schneider, and Peter DeLeon. "Social Construction and Policy Design." In *Theories of the Policy Process*, edited by Paul A. Sabatier, 93-126. Boulder: Westview Press, 2007.
- Mondou, Matthieu, and Éric Montpetit. "Policy Styles and Degenerative Politics: Poverty Policy Designs in Newfoundland and Quebec." *Policy Studies Journal* 38, no. 4 (November 2010): 703-722.

#### **Week IV (January 26) – Policy Design Contexts: Implementation Instruments**

##### *Overview:*

- Hood, Christopher. *The Tools of Government*. Chatham: Chatham House Publishers, 1986.
- Howlett, Michael. *Designing Public Policies: Principles and Instruments*. New York: Routledge, 2011. Chapter 4
- Howlett, Michael. "Governance modes, policy regimes and operational plans: A multi-level nested model of policy instrument choice and policy design." *Policy Sciences* 42, no. 1 (2009): 73-89.

##### *Background:*

- Howlett, M. "Policy instruments, policy styles and policy implementation." *Policy Studies Journal* 19, no. 2 (1991): 1-21
- Howlett, Michael. "Managing the "Hollow State": Procedural Policy Instruments and Modern Governance." *Canadian Public Administration*. 43, no. 4 (2000): 412-431.
- Eliadis, Pearl, Margaret Hill, and Michael Howlett, ed. *Designing Government: From Instruments to Governance*. Montreal: McGill-Queen's University Press, 2004.
- John, Peter. *Making Policy Work*. Routledge UK, 2011. Pp. 1-17

##### *Issues:*

- de Bruijn, J. A., H. A. M. Hufen, and F. K. M. Van Nispen. "The Traditional Approach to Policy Instruments." In *Public Policy Instruments : Evaluating the Tools of Public Administration*, edited by B. G. Peters and F. van Nispen, 11-32. New York: Edward Elgar, 1998.
- Bressers, H. T. A., B. G. Peters, and F. K. M. V. Nispen. "The Choice of Policy Instruments in Policy Networks." In *Public Policy Instruments : Evaluating the Tools of Public Administration*, 85-105. New York: Edward Elgar, 1998.
- van Thiel, Sandra, and Kutsal Yesilkagit. "Does Task Matter? The Effect of Task on the Establishment, Autonomy and Control of Semi-Autonomous Agencies." In *Paper Presented to the ECPR General Conference*. Reykjavik, Iceland, 2011.
- Schmitt, Carina, and Herbert Obinger. "Constitutional Barriers and the Privatization of Public Utilities in Rich Democracies." *World Political Science Review* 7, no. 1 (2011).  
<http://www.bepress.com/wpsr/vol7/iss1/art7>.
- Linder, S., and B. G. Peters. "The Design of Instruments for Public Policy." In *Policy Theory and Policy Evaluation: Concepts, Knowledge, Causes, and Norms*, edited by S. S. Nagel, 103-119. New York: Greenwood Press, 1990.
- Woodside, K. "Policy Instruments and the Study of Public Policy." *Canadian Journal of Political Science*. 19, no. 4 (1986): 775-793.
- Trebilcock, M., and D. G. Hartle. "The Choice of Governing Instrument." *International Review of Law and Economics* 2 (1982): 29-46.
- Lascomes, Pierre, and Patrick Le Gales. "Introduction: Understanding Public Policy through Its Instruments - From the Nature of Instruments to the Sociology of Public Policy Instrumentation." *Governance* 20, no. 1 (2007): 1-21.

#### **Week V (February 2) – Policy Design Elements: Organizational Tools**

##### *Overview:*

- Howlett, Michael. *Designing Public Policies: Principles and Instruments*. New York: Routledge, 2011. Chapter 5
- Leman, Christopher K. "Direct Government" in Salamon, L. M. *The Tools of Government: A Guide to the New Governance*. New York: Oxford University Press, 2002. Pp. 48-79
- Stanton, Thomas H. and Ronald C. Moe "Government Corporations and Government-Sponsored Enterprises" in Salamon, L. M. *The Tools of Government: A Guide to the New Governance*. New York: Oxford University Press, 2002. Pp. 80-116
- Thynne, Ian. "Ownership as an instrument of policy and understanding in the public sphere: trends and research agenda." *Policy Studies* 32, no. 3 (May 2011): 183-197.

##### *Background:*

- Goodsell, Charles. "The Bureau as Unit of Governance." In *The Values of Bureaucracy*, edited by Paul du Gay, 17-40. Oxford: Oxford University Press, 2005.
- Tupper, A., and G. B. Doern. "Public Corporations and Public Policy in Canada." In *Public Corporations and Public Policy in Canada*, 1-50. Montreal: Institute for Research on Public Policy, 1981.

- Borins, S. F. "World War Two Crown Corporations: Their Wartime Role and Peacetime Privatization." *Canadian Public Administration* 25, no. 3 (1982): 380-404.
- Laux, J. "How Private is Privatization." *Canadian Public Policy* 19, no. 4 (1993): 398-411.
- Bernier, Luc. "The Future of Public Enterprises: Perspectives from the Canadian Experience." *Annals of Public and Cooperative Economics* 82, no. 4 (December 1, 2011): 399-419.
- Koliba, Christopher, Jack W. Meek, and Asim Zia. *Governance Networks in Public Administration and Public Policy*. 1st ed. CRC Press, 2010. Pp. 189-224
- de Bruijn, J. A., and E. F. ten Heuvelhof. "Instruments for Network Management." In *Managing Complex Networks: Strategies for the Public Sector*, edited by W. J. M. Kickert, E. H. Klijn, and J. F. M. Koppenjan, 119-136. London: Sage, 1997.

*Issues:*

- Aucoin, P. "The Design of Public Organizations for the 21st Century: Why Bureaucracy Will Survive in Public Management." *Canadian Public Administration* 40, no. 2 (1997): 290-306.
- Peters, B. G. "Government Reorganization: A Theoretical Analysis." *International Political Science Review* 13, no. 2 (1992): 199-218.
- Reed, Michael. "The Post-Bureaucratic Organization and the Control Revolution." In *Managing Modernity: Beyond Bureaucracy?*, edited by Stewart Clegg, Martin Harris, and Harro Hopfl, 230-256. Oxford: Oxford University Press, 2011.
- Heyman, Victor K. "Government by Contract: Boon or Boner?" *Public Administration Review* 21, no. 2 (April 1, 1961): 59-64.
- Vincent-Jones, Peter. "Contractual Governance: Institutional and Organizational Analysis." *Oxford Journal of Legal Studies* 20, no. 3: 317-351.
- Ikenberry, G. J. "The International Spread of Privatization Policies: Inducements, Learning, and 'Policy Bandwagoning'." In *The Political Economy of Public Sector Reform and Privatization*, edited by E. N. Suleiman and J. Waterbury, 88-110. Boulder: Westview Press, 1990.
- Schmitt, Carina. "What Drives the Diffusion of Privatization Policy? Evidence from the Telecommunications Sector." *Journal of Public Policy* 31, no. 1 (February 2011): 95-117.
- Clifton, Judith, Francisco Comín, and Daniel Díaz Fuentes. "Privatizing public enterprises in the European Union 1960-2002: ideological, pragmatic, inevitable?" *Journal of European Public Policy* 13 (August 2006): 736-756.
- Florio, Massimo, and Fabienne Fecher. "The Future of Public Enterprises: Contributions to a New Discourse." *Annals of Public and Cooperative Economics* 82, no. 4 (December 1, 2011): 361-373.
- Wettenhall, Roger. "State enterprise for ethical reasons: mostly alcohol and tobacco." *Policy Studies* 32 (May 2011): 243-261.
- Millward, Robert. "Public Enterprise in the Modern Western World: An Historical Analysis." *Annals of Public and Cooperative Economics* 82, no. 4 (December 1, 2011): 375-398.
- Casey, John. "A New Era of Collaborative Government-Nonprofit Relations in the U.S.?" *Nonprofit Policy Forum* 2, no. 1 (May 2011). <http://www.bepress.com/npf/vol2/iss1/3>.
- Lipsky, Michael, and Steven Rathgeb Smith. "Nonprofit Organizations, Government, and the Welfare State." *Political Science Quarterly* 104, no. 4 (December 1, 1989): 625-648.
- Persons, Georgia A. "Administrative Policy Initiatives and the Limits of Change: Lessons from the Implementation of the Bush Faith-Based and Community Initiative." *Politics & Policy* 39, no. 6 (December 1, 2011): 949-978.
- Pestoff, Victor. "Citizens and co-production of welfare services." *Public Management Review* 8 (December 2006): 503-519.
- Eriksson, Kai. "Co-Production as a Political Form." *World Political Science Review* 7, no. 1 (2011).

**Week VI (February 9) - Policy Design Elements: Authoritative Tools**

*Overview:*

- Howlett, Michael. *Designing Public Policies: Principles and Instruments*. New York: Routledge, 2011. Chapter 6
- Salamon, Lester M. "Economic Regulation" in Salamon, L. M. *The Tools of Government: A Guide to the New Governance*. New York: Oxford University Press, 2002. Pp. 117-155
- May, Peter J. "Social Regulation" in Salamon, L. M. *The Tools of Government: A Guide to the New Governance*. New York: Oxford University Press, 2002. Pp. 156-185

- Keyes, J. M. "Power Tools: The Form and Function of Legal Instruments for Government Action." *Canadian Journal of Administrative Law and Practice* 10 (1996): 133-174.
- Braithwaite, J., J. Walker, and P. Grabosky. "An Enforcement Taxonomy of Regulatory Agencies." *Law and Policy* 9, no. 3 (1987): 323-351.

*Background:*

- Bernstein, M. H. *Regulating Business by Independent Commission*. Princeton: Princeton University Press, 1955.
- Ayres, Ian, and John Braithwaite. *Responsive Regulation: Transcending the Deregulation Debate*. Oxford University Press, USA, 1995.
- Freiberg, Arie. *The Tools of Regulation*. 1st ed. Federation Press (Distribution Deal), 2010. Pp. 258-274
- Jordana, J., and D. Levi-Faur. "The Politics of Regulation in the Age of Governance." In *The Politics of Regulation: Institutions and Regulatory Reforms for the Age of Governance*, edited by Jordana, J, 1-28. Cheltenham: Edward Elgar, 2004.
- Smith, T. B. "Advisory Committees in the Public Policy Process." *International Review of Administrative Sciences* 43, no. 2 (1977): 153-166.
- Dion, L. "The Politics of Consultation." *Government and Opposition* 8, no. 3 (1973): 332-353.
- Coglianesse, Cary. "Process choice." *Regulation & Governance* 5, no. 2 (June 1, 2011): 250-261.

*Issues:*

- Freedland, Mark, and Desmond King. "Contractual governance and illiberal contracts: some problems of contractualism as an instrument of behaviour management by agencies of government." *Cambridge Journal of Economics* 27, no. 3 (May 1, 2003): 465 -477.
- Freeman, Jody. "The Contracting State" *Florida State University Law Review* 28 (2001 2000): 155-214
- Barkow, Rachel E. "Insulating Agencies: Avoiding Capture Through Institutional Design." *Texas Law Review* 89 (2010): 15-79.
- Black, Julia, and Robert Baldwin. "Really Responsive Risk-Based Regulation." *Law & Policy* 32, no. 2 (April 1, 2010): 181-213.
- Clifton, Judith, Pierre Lanthier, and Harm Schröter. "Regulating and deregulating the public utilities 1830–2010." *Business History* 53 (August 2011): 659-672.
- van der Heijden, Jeroen. "Smart Privatization: Lessons from Private Sector Involvement in Australian and Canadian Building Regulatory Enforcement Regimes." *Journal of Comparative Policy Analysis: Research and Practice* 12 (November 2010): 509-525.
- Saurwein, Florian "Regulatory Choice for Alternative Modes of Regulation: How Context Matters." *Law & Policy* 33, no. 3 (July 1, 2011): 334-366.
- Eberhard, Bohne. "Conflicts between national regulatory cultures and EU energy regulations." *Utilities Policy* 19, no. 4 (December 2011): 255-269.
- Koski, Chris. "Regulatory Choices: Analyzing State Policy Design." *Law & Policy* 29, no. 4 (2007): 409-434.
- Martinez-Gallardo, Cecilia, and Maria Victoria Murillo. "Agency under constraint: Ideological preferences and the politics of electricity regulation in Latin America." *Regulation & Governance* 5, no. 3 (September 1, 2011): 350-367.
- Daugbjerg, C. "Policy Networks and Agricultural Policy Reforms: Explaining Deregulation in Sweden and Re-regulation in the European Community." *Governance* 10, no. 2 (1997): 123-142.
- Ayuso, Silvia. "Comparing Voluntary Policy Instruments for Sustainable Tourism: The Experience of the Spanish Hotel Sector." *Journal of Sustainable Tourism* 15 (March 15, 2007): 144-159.
- Brukas, Vilis, and Ola Sallnäs. "Forest management plan as a policy instrument: Carrot, stick or sermon?" *Land Use Policy* (n.d.).  
<http://www.sciencedirect.com/science/article/pii/S0264837711001177>.
- Stavins, Robert N. "A Meaningful U.S. Cap-and-Trade System to Address Climate Change." *Harvard Environmental Law Review* 32 (2008): 293-364.
- Brown, Mark B. "Fairly Balanced:; The Politics of Representation on Government Advisory Committees." *Political Research Quarterly* 61, no. 4 (2009): 547-560.
- Elliott, Dominic, and Martina McGuinness. "Public Inquiry: Panacea or Placebo?" *Journal of Contingencies and Crisis Management* 10, no. 1 (2002): 14-25.

## February 16 and 23rd READING BREAK AND CANCELLED CLASS

\*\*\* PAPER TOPICS DUE \*\*\*

### Week VII (March 1) – Policy Design Elements: Financial Tools

#### Overview:

- Howlett, Michael. *Designing Public Policies: Principles and Instruments*. New York: Routledge, 2011. Chapter 7
- Beam, David R. and Timothy J. Conlan, “Grants” in Salamon, L. M. *The Tools of Government: A Guide to the New Governance*. New York: Oxford University Press, 2002. Pp. 340-380
- Howard, Christopher “Tax Expenditures” in Salamon, L. M. *The Tools of Government: A Guide to the New Governance*. New York: Oxford University Press, 2002. Pp. 410-445

#### Background:

- Surrey, S. S., and P. R. McDaniel. *Tax Expenditures*. Cambridge: Harvard University Press 1985.
- Cnossen, S. *Theory and Practice of Excise Taxation: Smoking, Drinking, Gambling, Polluting and Driving*. Oxford: Oxford University Press, 2005.
- Howard, C. *The Hidden Welfare State: Tax Expenditures and Social Policy in the United States*. Princeton: Princeton University Press, 1997.
- Robert N., Stavins. “Chapter 9 Experience with market-based environmental policy instruments.” In *Environmental Degradation and Institutional Responses*, Volume 1:355-435. Elsevier, 2003. <http://www.sciencedirect.com/science/article/pii/S1574009903010143>.

#### Issues:

- de Moor, Andre and Peter Calamai. *Subsidizing Unsustainable Development: Undermining the Earth with Public Funds*. Institute for Research On Public Expenditure, 1997.
- Proost, Stef, Fay Dunkerley, Bruno De Borger, Astrid Gühneman, Pia Koskenoja, Peter Mackie, and Saskia Van der Loo. “When are subsidies to trans-European network projects justified?” *Transportation Research Part A: Policy and Practice* 45, no. 3 (March 2011): 161-170.
- Lederman, Daniel, Marcelo Olarreaga, and Lucy Payton. “Export promotion agencies: Do they work?” *Journal of Development Economics* 91, no. 2 (March 2010): 257-265.
- Butzengeiger-Geyer, Sonja, Axel Michaelowa, Michel Köhler, and Martin Stadelmann. “Policy instruments for climate change adaptation - lessons from mitigation and preconditions for introduction of market mechanisms for adaptation.” In *Colorado Conference on Earth System Governance*. Boulder, 2011.
- del Río, Pablo, Anxo Calvo Silvosa, and Guillermo Iglesias Gómez. “Policies and design elements for the repowering of wind farms: A qualitative analysis of different options.” *Energy Policy* 39, no. 4 (April 2011): 1897-1908.
- Warner, Mildred E, and Raymond H. J. M Gradus. “The Consequences of Implementing a Child Care Voucher Scheme: Evidence from Australia, the Netherlands and the USA.” *Social Policy & Administration* (n.d.). <http://onlinelibrary.wiley.com/doi/10.1111/j.1467-9515.2011.00787.x/abstract>.
- Stanbury, W. T. “A Skeptic’s guide to the Claims of So-Called Public Interest Groups.” *Canadian Public Administration* 36, no. 4 (1993): 580-605.
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**Week X (March 22) – Patterns and Issues in Contemporary Policy Design**

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**Week XI – Paper Presentations**

**Week XII – Paper Presentations**

**Week XIII – No Class**

**Week IV - April 19<sup>th</sup> \*\*\* PAPERS DUE \*\*\***

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**Plagiarism involves using another author's words without attribution or otherwise presenting another person's work as one's own. It is a fraudulent and serious academic offence that will result in a severe academic penalty. Also, close paraphrasing of another author's work & self-plagiarism, including submitting the same, or substantively the same, work for academic evaluation more than once, are unacceptable practices that will result in a severe academic penalty.**

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- submit material that has been downloaded from a website, without acknowledging (using appropriate citation style) that you have done so;
- take someone else's idea(s) and represent it/them as your own;
- copy any text verbatim, or with only slight variation from the original text, without using quotation marks and documenting the source with proper citation style;
- do not closely paraphrase another's material; either paraphrase completely in your own words, or cite as a direct quotation using quotation marks (in either case, give full credit and details regarding authorship and location of the original material);

#### **Do:**

- learn how to cite material properly (there are many good guides on this, including the departmental one);
- use a recognized citation style (eg. APA, MLA, Chicago), according to instructions given by the course instructor, and be consistent in the use of the style throughout any single piece of written work;
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- ask the instructor of this course or other faculty members if you have any questions about plagiarism.