

POL 853 – Public Administration

2011-2

Time: Wednesday 1:30-5:30

Location: HC Campus HCC2290

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Office Hours: Wednesday 4:40-5:30

Overview:

This course examines public administration through a public policy and governance lens; focusing on policy formulation and implementation and the instruments used by governments in carrying out these tasks. Essential components 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 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 in public administration 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 – 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

Background:

- 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.
- 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.
- Peters, B. G. "The Experimenting Society and Policy Design." In *The Experimenting Society: Essays in Honour of Donald T. Campbell*, edited by Dunn, William N, 125-139. New Brunswick: Transaction Publishers, 1998.
- Schneider, A., and H. Ingram. "Systematically Pinching Ideas: A Comparative Approach to Policy Design." *Journal of Public Policy* 8, no. 1 (1988): 61-80.
- Woodside, K. "Policy Instruments and the Study of Public Policy." *Canadian Journal of Political Science*. 19, no. 4 (1986): 775-793.

Additional Background Reading:

** Students who are unfamiliar with 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
- Helga Puzl 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*

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.
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.
Weimer, D. L. "Claiming Races, Broiler Contracts, Heresthetics, and Habits: Ten Concepts for Policy Design." *Policy Sciences* 25 (1992): 135-159.

Week II – Policy Design: Definitions and Concept

Overview:

Howlett, Michael. *Designing Public Policies: Principles and Instruments*. New York: Routledge, 2011. Chapter 2
Lester M. Salamon, "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

Background:

Dryzek, J. S., and B. Ripley. "The Ambitions of Policy Design." *Policy Studies Review* 7, no. 4 (1988): 705-719.
Weimer, D. L. "The Craft of Policy Design: Can It Be More Than Art?" *Policy Studies Review* 11, no. 3/4 (1992): 370-388.
Schneider, A. L., and H. Ingram. "Behavioural Assumptions of Policy Tools." *Journal of Politics* 52, no. 2 (1990): 511-529.
Ingraham, P. "Toward More Systematic Considerations of Policy Design." *Policy Studies Journal* 15, no. 4 (1987): 611-628.

Issues:

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.
Voß, Jan-Peter, Adrian Smith, and John Grin. "Designing long-term policy: rethinking transition management." *Policy Sciences* 42, no. 4 (2009): 275-302.
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.

Week III - Policy Design Contexts: Globalization and Governance

Overview:

Howlett, Michael. *Designing Public Policies: Principles and Instruments*. New York: Routledge, 2011. Chapter 1
Steven Rathgeb Smith 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

Background:

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:

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.

Heritier, Adrienne, and Dirk Lehmkuhl. "Introduction: The Shadow of Hierarchy and New Modes of Governance." *Journal of Public Policy* 28, no. 1 (2008): 1-17.

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.

Week IV – Policy Design Contexts: Policy Formulation

Overview:

Howlett, Michael. *Designing Public Policies: Principles and Instruments*. New York: Routledge, 2011. Chapter 3

B. Guy Peters, "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

Background:

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.

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.

Issues:

Marier, Patrik. "Empowering Epistemic Communities: Specialized Politicians, Policy Experts and Policy Reform." *West European Politics* 31, no. 3 (2008): 513-533.

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.

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.

Weimer, David L. "The Current State of Design Craft: Borrowing, Tinkering, and Problem Solving." *Public Administration Review* 53, no. 2 (April 1993): 110-120.

Week V – Policy Design Contexts: Implementation Instruments

Overview:

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:

Hood, Christopher. *The Tools of Government*. Chatham: Chatham House Publishers, 1986.

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

Howlett, M. "Policy instruments, policy styles and policy implementation." *Policy Studies Journal* 19, no. 2 (1991): 1-21

Eliadis, Pearl, Margaret Hill, and Michael Howlett, ed. *Designing Government: From Instruments to Governance*. Montreal: McGill-Queen's University Press, 2004.

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.
- Gunningham, N., and D. Sinclair. "Regulatory Pluralism: Designing Policy Mixes for Environmental Protection." *Law and Policy* 21, no. 1 (1999): 49-76.
- Howlett, Michael, and Jeremy Rayner. "Design Principles for Policy Mixes: Cohesion and Coherence in 'New Governance Arrangements'." *Policy and Society* 26, no. 4 (2007): 1-18.

Week VI – Policy Design Elements: Organizational Tools

Overview:

- Howlett, Michael. *Designing Public Policies: Principles and Instruments*. New York: Routledge, 2011. Chapter 5
- Christopher K. Leman, "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
- Thomas H. Stanton 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

Background:

- 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.
- 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:

- 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.
- Laux, J. "How Private is Privatization." *Canadian Public Policy* 19, no. 4 (1993): 398-411.
- 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.

Week VII - Policy Design Elements: Authoritative Tools

Overview:

- Howlett, Michael. *Designing Public Policies: Principles and Instruments*. New York: Routledge, 2011. Chapter 6
- Lester M. Salamon, "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
- Peter J. May, "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

Background:

- Bernstein, M. H. *Regulating Business by Independent Commission*. Princeton: Princeton University Press, 1955.
- Barkow, Rachel. "Insulating Agencies: Avoiding Capture Through Institutional Design." *Texas Law Review* 89 (n.d.): 15-79.
- 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.

Issues:

- 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.
- 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.
- 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.

*** PAPER TOPICS DUE ***

Week VIII– Policy Design Elements: Financial Tools

Overview;

- Howlett, Michael. *Designing Public Policies: Principles and Instruments*. New York: Routledge, 2011. Chapter 7
- David R. Beam 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
- Christopher Howard "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.

Issues:

- de Moor, Andre and Peter Calamai. *Subsidizing Unsustainable Development: Undermining the Earth with Public Funds*. Institute for Research On Public Expenditure, 1997.
- Bye, Torstein, and Annegrete Bruvoll. "Multiple instruments to change energy behaviour: The emperor's new clothes?" *Energy Efficiency* 1, no. 4 (November 1, 2008): 373-386
- 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.
- Webb, Kernaghan. *Cinderella's Slippers? The Role of Charitable Tax Status in Financing Canadian Interest Groups*. Vancouver: SFU-UBC Centre for the Study of Government and Business, 2000.

Week IX – Policy Design Elements: Information Tools

Overview;

- Howlett, Michael. *Designing Public Policies: Principles and Instruments*. New York: Routledge, 2011. Chapter 8
- Janet A. Weiss, "Public Information" in Salamon, L. M. *The Tools of Government: A Guide to the New Governance*. New York: Oxford University Press, 2002. 217-254

Background:

- Janet A. Weiss and Mary Tschirhart, "Public Information Campaigns as Policy Instruments" in *Journal of Policy Analysis and Management* 13(1) 1994 pp. 82-119
- Salmon, C. *Information Campaigns: Managing the Process of Social Change*. Newberry Park: Sage, 1989.
- 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

Issues:

- Adler, Robert S. and R. David Pittle. "Cajolry or Command: Are Education Campaigns an Adequate Substitute for Regulation." *Yale Journal on Regulation* 1(1984): 159-193.

- Rothschild, Michael L. "Marketing Communications in Non-business Situations or Why Its So Hard to Sell Brotherhood Like Soap." *Journal of Marketing*. 43, no. Spring (1979): 11-20.
- Dunleavy, P., H. Margetts, S. Bastow, and J. Tinkler. "New Public Management is Dead - Long Live Digital-Era Governance." *Journal of Public Administration Research and Theory* 16, no. 2 (2005): 467-494.
- Pasquier, Martial, and Jean-Patrick Villeneuve. "Organizational Barriers to Transparency: A Typology and Analysis of Organizational Behaviour Tending to Prevent of Restrict Access to Information." *International Review of Administrative Sciences* 73, no. 1 (2007): 147-162.

Week X – Patterns in Contemporary Policy Design

Overview;

- Howlett, Michael. *Designing Public Policies: Principles and Instruments*. New York: Routledge, 2011. Chapters 9
- Arthur B. Ringeling, "European Experience with Tools of Government" in Salamon, L. M. *The Tools of Government: A Guide to the New Governance*. New York: Oxford University Press, 2002. 585-599

Background:

- Saward, M. "Cooption and Power: Who Gets What From Formal Incorporation." *Political Studies* 38 (1990): 588-602.
- Considine, M., and J. M. Lewis. "Bureaucracy, Network, or Enterprise? Comparing Models of Governance in Australia, Britain, the Netherlands, and New Zealand." *Public Administration Review* 63, no. 2 (2003): 131-140.
- Farazmand, Ali. "Building Administrative Capacity for the Age of Rapid Globalization: A Modest Prescription for the Twenty-First Century." *Public Administration Review* 69, no. 6 (2009): 1007-1020.

Issues:

- Bode, I. "Disorganized Welfare Mixes: Voluntary Agencies and New Governance Regimes in Western Europe." *Journal of European Social Policy* 16, no. 4 (2006): 346-359
- Mondou, Matthieu, and Éric Montpetit. "Policy Styles and Degenerative Politics: Poverty Policy Designs in Newfoundland and Quebec." *Policy Studies Journal* 38, no. 4 (2010): 703-722.
- Edelenbos, Jurian, Nienke van Schie, and Lasse Gerrits. "Organizing interfaces between government institutions and interactive governance." *Policy Sciences* 43, no. 1 (March 1, 2010): 73-94.
- Bertelli, A. "The Role of Political Ideology in the Structural Design of New Governance Agencies." *Public Adm.Rev.* 66, no. 4 (2006): 583-595.

Week XI – Paper Presentations

Week XII – Paper Presentations

Week XIII – Paper Presentations

Week XIV * PAPERS DUE *****