

PA515
BUREAUCRACY AND THE POLICY PROCESS
SPRING 2010

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Office Hours: By appointment

This course is designed as a survey of public policy research and theory for doctoral students, with special emphasis on bureaucracy in the policy process. This refers to bureaucratic actors within the policy process, and bureaucracy as an institutional context for public policymaking. Some recent authors reflect the increased relevance of cross-sectoral collaboration and policy tools other than direct service delivery. Even in policy areas where these shifts have occurred, public administrators continue to be important participants in public policy.

The first part of the course is organized around ideas, institutions, and interests as the raw materials contributing to public policy processes and outcomes. “Ideas” include the role of policy analysis, welfare economics, and policy designs. Institutions such as separation of powers and federalism affect the American policy environment, and the section on processes reveals that bureaucratic institutions matter, too, for policy development and implementation. Pluralist theory has had a long history in American public policy, although more recent work examines advocacy coalitions, policy communities, or policy networks in their interactions, rather than interest group theory. These elements are combined in policy theories concerning agendas, formulation, implementation, and policy learning.

There are two goals for this course. First, is to examine the intellectual foundations of public policy research. Approaches such as punctuated equilibria, policy streams, the advocacy coalition framework, policy design, institutionalism, rational choice, welfare economics, and social constructivism are all common in public policy. Second, is to consider how to conduct social science research related to policy, as a way of filling gaps in current knowledge. Your goal is to develop an understanding of the variety of theories of public policy and develop your skills so that you can engage those theories in your own research.

Course Assignments

Midterm and Final Take-Home Exams. Both will be a take-home exam, in which you will be given a question requiring you to compare or integrate across weeks. The objective of these assignments is to give you practice and feedback for comprehensive exams, both in terms of what to include in a comps answer, and on content that will be part of the core exam. You should use the class reading as comprehensively as possible, and accurately.

Presentation Reading. Each of you will review 1 book over the course of the semester and prepare 2 questions about the book. You will act as discussion leader around the book. The questions should help students to relate this book to the reading for the week, but also tease out key issues raised by the book.

In your summary, you should emphasize the theory presented by the author, highlighting the critical concepts and analytic models. You will also be responsible for preparing a brief critical summary (5-7 pages, double-spaced). This essay should include a complete summary of the argument and an evaluation of its contributions, including (but not limited to) criticisms of the work. These summaries will provide background for future classes, exams and more.

Class Participation and Discussion Leadership. I will assign each of you 1 week for which I expect you to develop **5 questions** for discussion. You will prepare summary notes on the main ideas of the class reading and a 15-20 minute presentation that will emphasize the main concepts or issues and set the stage for class discussion. Remember, all of your fellow students will have done the reading, so how you synthesize this and what you highlight are the important tasks (rather than writing a blow-by-blow description). **THE WEEKS WHERE A STUDENT IS EXPECTED TO LEAD THE DISCUSSION ARE HIGHLIGHTED IN GREY.**

For your participation grade (calculated across the semester) - this is a graduate seminar, and I expect everyone to participate fully in discussion. Your class participation grade will reflect my assessment of the quality of your participation (quantity plays some role, but it isn't enough).

Research Design. You are responsible for developing a research design, including an introduction discussing the research questions and their significance, and a literature review section of approximately 4 or 5 pages (about the length that would appear in a journal article or grant proposal). The research design should be focused on the role of administrators or public institutions in policy processes or policy outcomes, and should be related to the reading this semester. **HOWEVER, YOU ARE REQUIRED TO GO BEYOND CLASS READING** by including some current journal articles in your research. The journal articles should be used to discuss empirical evidence and/or refinements on these questions or theories (which will often update what we are reading in class. The paper should do the following:

- Identify an aspect of a theory which you wish to test (this must flow from gaps in the existing theories/research)
- Explaining the significance of this research through a brief literature review (which should take at most 4 or 5 of your allotted pages; this is about what you would often write for a journal article for the lit review, and will force you to focus the lit review on what is really important for the study you propose)
- Specify concepts and hypotheses through which you will test the theory
- Identify the unit of analysis [continued next page]

- Identify what data would be used (either existing data or data you will collect), and your methods for analysis.
- What is the dependent variable (if applicable), and major independent variables you would include? Or, if this is an exploratory study or a qualitative study, what are the research questions?

Your research projects will be posted online, so that your fellow students can benefit from your literature reviews, and so that you can exchange ideas on research. We will not have class on Monday, March 29, but you should use that time to read each other's work and to post questions or comments for each other.

Grading

Your overall grade for the course will be weighted in the following manner:

Midterm and final take-home (25% @)	50%
Research design	20%
Class participation	10%
Discussion leadership	10%
Book review & discussion	10%
TOTAL	100%

Plagiarism and cheating are penalized severely, in accordance with university sanctions. Guidelines regarding academic integrity at UIC are available online at <http://www.uic.edu/depts/sja/integrit.htm> and sanctions for academic dishonesty are also available at <http://www.uic.edu/depts/sja/chpt3.htm#3>.

REQUIRED READING

The following books are available at the university bookstore:

Irwin, L.G. 2003. *The Policy Analyst's Handbook: Rational Problem Solving in a Political World*. Armonk, NY: ME Sharpe.

Rhoads, Steven E. 1985/1999. *The Economist's View of the World: Government, Markets, and Public Policy*. Cambridge: Cambridge University Press.

Schneider, Anne Larason and Helen Ingram. 1997. *Policy Design for Democracy*. University Press of Kansas.

Kingdon, John W. 1995. *Agendas, Alternatives and Public Policies*. HarperCollins.

Jones, Bryan D. and Frank R. Baumgartner. 2005. *The Politics of Attention: How Government Prioritizes Problems*. Chicago: University of Chicago Press.

Hill, Michael and Peter Hupe. 2009. *Implementing Public Policy: Governance in Theory and Practice, 2nd ed.* London: Sage.

SCHEDULE

**Indicates reading available on Blackboard.

Recommended readings are not required, but may be useful for further research and/or comps.

1-11 Introduction to Public Policy

**DeLeon, Peter. 2006. Historical Roots of the Field. *Oxford Handbook of Public Policy*, Michael Moran, Martin Rein, and Robert E. Goodin, eds. Oxford University Press.

Recommended Reading:

Heineman, Robert A. et al. 2002. *The World of the Policy Analyst: Rationality, Values and Politics*, Chapter 1, The Emergence of a Field. New York: Chatham House.

Radin, Beryl. 2000. *Beyond Machiavelli: Policy Analysis Comes of Age*. Washington, D.C.: Georgetown University Press.

Lasswell, Harold D. 1951. The Policy Orientation. In *The Policy Sciences: Recent Developments in Scope and Method*, Daniel Lerner and Harold D. Lasswell, eds. Stanford: Stanford University Press.

Farr, James, Jacob S. Hacker and Nicole Kazee. 2006. The Policy Scientist of Democracy: The Discipline of Harold D. Lasswell. *American Political Science Review* 100(4): 579-88.

1-18 NO CLASS – DR. KING BIRTHDAY

1-25 Ideas: Policy Analysis, Policy Research

- Irwin, L.G. 2003. *The Policy Analyst's Handbook: Rational Problem Solving in a Political World*
- Landry, R., M. Lamar, N. Amara. 2003. The Extent and Determinants of the Utilization of University Research in Government Agencies. *Public Administration Review* 63(2): 192-205. **[Get online]**.

Recommended Reading:

Weimer, David L. and Aidan R. Vining. 2005. *Policy Analysis: Concepts and Practice*, 4th ed. Englewood Cliffs, NJ: Prentice Hall.

MacRae, Duncan Jr., Dale Whittington. 1997. *Expert Advice for Policy Choice: Analysis and Discourse*. Washington, D.C.: Georgetown University Press.

Rein, Martin and Donald Schon. 1996. Frame-Critical Policy Analysis and Frame-Reflective Policy Practice. *Knowledge and Policy: The International Journal of Knowledge Transfer and Utilization* 9(1): 85.

Heineman, Robert A. et al. 2002. *The World of the Policy Analyst: Rationality, Values and Politics*. New York: Chatham House.

Bobrow, D.B. and J.S. Dryzek. 1987. *Policy Analysis by Design*. Pittsburgh, PA: University of Pittsburgh Press.

Behn, Robert. 1981. Policy Analysis and Policy Politics. *Policy Analysis* 7, Spring

Wildavsky, Aaron. 1979. *Speaking Truth to Power: The Art and Craft of Policy Analysis*. New York: Little, Brown and Co.

2-1 Ideas: Welfare Economics and Public Policy

SELECTED CHAPTERS FROM Rhoads, Steven E., *The Economist's View of the World: Government, Markets, and Public Policy*, **PARTS I AND II**

2-8 Ideas: Policy Design

Schneider, Anne Larason and Helen Ingram. 1997. *Policy Design for Democracy*.

##Presentation Reading: Rawls, John. *A Theory of Justice*.

2-15 Institutions: The Fragmented U.S. Policy Environment

- **Weaver, R. Kent and Bert A. Rockman. 1993. *Do Institutions Matter? Government Capabilities in the United States and Abroad*. Washington, D.C.: Brookings.
SELECTED CHAPTERS – 3 chapters available on **Blackboard**.
- ***“Federalism as a System of Policy Venues” – Baumgartner, F. and B.D. Jones. 1993. From *Agendas and Instability in American Politics*. Chicago: University of Chicago Press. **Blackboard**.
- **Steinmo, Sven. 1993. American Exceptionalism Reconsidered: Culture or Institutions? From *The Dynamics of American Politics: Approaches and Interpretations*, Lawrence Dodd and Calvin Jillson, eds, 106-31. **Blackboard**

Recommended Reading:

Pal, Leslie and R. Kent Weaver, eds. 2003. *The Government Taketh Away: The Politics of Pain in the United States and Canada*. Washington, D.C.: Georgetown University Press.

Kingdon, John W. 1999. *America the Unusual*. New York: St. Martin's/Worth.

Steinmo, Sven. 1993. *Taxation and Democracy: Swedish, British and American Approaches to Financing the Modern State*. New Haven, CT: Yale University Press.

Weaver, R. Kent and Bert A. Rockman. 1993. *Do Institutions Matter? Government Capabilities in the United States and Abroad*. Washington, D.C.: Brookings

##Presentation Reading: North, D. *Institutions, Institutional Change and Economic Performance*.

2-22 Interests: From Pluralism to Policy Networks

- **Truman, Group Politics and Representative Democracy. **Blackboard**.

- Bachrach, Peter and Morton S. Baratz. 1962. Two Faces of Power. *American Political Science Review*. 56: 947-52. **[get online]**
- **Heclo, Issue Networks and the Executive Establishment. **Blackboard.**
- **Sabatier, The Advocacy Coalition Approach. **Blackboard.**
- **Rhodes, R.A.W. 2006. Policy Networks. In *Oxford Handbook of Public Policy*, Michael Moran, Martin Rein, and Robert E. Goodin, eds. Oxford: Oxford University Press. **Blackboard.**

##Presentation Reading: Olson, Mancur. 1971. *The Logic of Collective Action: Public Goods and the Theory of Groups*. Cambridge, MA: Harvard University Press.

Recommended Reading:

- Heclo, H. 1977. *A Government of Strangers: Executive Politics in Washington*. Washington, D.C.: Brookings Institution.
- Lowi, Theodore. 1979. *The End of Liberalism: The Second Republic of the United States*. New York: W.W. Norton Co., 2nd ed.
- Crenson, Matthew. 1971. *The Un-Politics of Air Pollution*. Baltimore: Johns Hopkins Press.
- Sabatier, Paul and Hank Jenkins-Smith. 1993. *Policy Change and Learning: An Advocacy Coalition Approach*. Boulder, CO: Westview Press.

POLICY PROCESSES – PART II

3-1 Policy and Problem Characteristics

- **Lowi, Four Systems of Policy, Politics and Choice, 181-200. **Blackboard.**
- **Greenberg, Miller, Mohr and Vladeck, Developing Public Policy Theory: Perspectives from Empirical Research, 201-219. **Blackboard.**
- **Stone, Deborah. 2002. Symbols (Chapter 6) and Numbers (Chapter 7). In *Policy Paradox: The Art of Political Decision Making*, revised ed. New York: W.W. Norton Co. **Blackboard.**
- Rochefort, David A. and Roger W. Cobb. 1993. Problem Definition, Agenda Access, and Policy Choice. *Policy Studies Journal* 21(1): 56-71. **[get online]**

Recommended Reading:

- Ripley, Randall B. 1985. *Policy Analysis in Political Science*. Chicago, IL: Nelson-Hall Publishers.
- Ripley, Randall B. and Grace A. Franklin. 1991. *Congress, the Bureaucracy, and Public Policy*, 5th ed. Pacific Grove, CA: Brooks/Cole Publishing Co.
- Mooney, Christopher Z., ed. 2001. *The Politics of Morality Policy: The Public Clash of Private Values*. New York: Chatham House.
- Cobb, Roger W. and Marc Howard Ross. 1997. *Cultural Strategies of Agenda Denial: Avoidance, Attack, and Redefinition*. Lawrence, KS: University Press of Kansas.
- Elder, Charles D. and Roger W. Cobb. 1983. *The Political Uses of Symbols*. New York: Longman.

Gusfield, Joseph R. 1981. *The Culture of Public Problems: Drinking-Driving and the Symbolic Order*. Chicago, IL: University of Chicago Press.

##Presentation Reading: Meier, Kenneth J. and John Bohte. 2007. *Politics and the Bureaucracy: Policymaking in the Fourth Branch of Government*, 5th ed. Thomson/Wadsorth.

3-8 Week 8 – Midterm – NO CLASS

3-15 Agendas and Formulation: Policy Streams/Organized Anarchy

Kingdon, John. 1995. *Agendas, Alternatives and Public Policy*.

Recommended Reading:

Zahariadis, Nikolaos. 2003. *Ambiguity and Choice in Public Policy: Political Decision Making in Modern Democracies*. Washington, D.C.: Georgetown University Press.

Cobb, Roger and Charles Elder. 1984. *Participation in American Politics: The Dynamics of Agenda Building*, 2nd ed. Baltimore, MD: Johns Hopkins University Press.

3-22 SPRING BREAK

3-29 RESEARCH PAPERS – to be posted – read and comment on posted papers this week

4-5 Agendas and Formulation: Bounded Rationality, Information, and Policy Punctuations

Jones, Bryan D. and Frank R. Baumgartner. 2005. *The Politics of Attention: How Government Prioritizes Problems*. Chicago: University of Chicago Press. **CHAPTERS 1-5.**

##Presentation Reading: Baumgartner, F. and B. D. Jones. 1993. *Agendas and Instability in American Politics*. Chicago, IL: University of Chicago Press.

4-12 Agendas and Formulation: Jones and Baumgartner Part II

Jones, Bryan D. and Frank R. Baumgartner. 2005. *The Politics of Attention: How Government Prioritizes Problems*. Chicago: University of Chicago Press. **CHAPTERS 6-11.**

Recommended Reading:

- Rocheffort, David A. and Roger W. Cobb, eds. 1994. *The Politics of Problem Definition: Shaping the Policy Agenda*. Lawrence, KS: University Press of Kansas.
- Jones, Bryan D. 2001. *Politics and the Architecture of Choice: Bounded Rationality and Governance*. Chicago, IL: University of Chicago Press.
- Baumgartner, Frank R. and Bryan D. Jones, eds. 2002. *Policy Dynamics*. Chicago, IL: University of Chicago Press.

4-19 Hupe and Hill/IMPLEMENTATION

##Presentation Reading: Goggin, Malcolm et al. 1990. *Implementation Theory and Practice: Toward a Third Generation*. Glenview, IL: Scott Foresman/Little, Brown Higher Education.

Recommended Reading: See authors in lit review.

4-26 Feedback: Evaluation and Learning

- Schneider, Anne Larason. 1986. The Evolution of a Policy Orientation for Evaluation Research: A Guide to Practice. *Public Administration Review* 46(4): 356-63. **[get online]**
- **Bovens, Mark, Paul 'T Hart and Sanneke Kuipers. The Politics of Policy Evaluation. In *Oxford Handbook of Public Policy*.
- **Freeman, Richard. 2006. Learning in Public Policy, *Oxford Handbook of Public Policy*, 366
- Walker, Jack L. 1969. The Diffusion of Innovations among the American States. *American Political Science Review* 67: 880-99. **[get online]**
- Mossberger, Karen and Hal Wolman. 2003. Policy Transfer as a Form of Prospective Policy Evaluation: Challenges and Recommendations. *Public Administration Review* 63: **[get online]**

Presentation Reading: Rose, Richard. 1993. *Lesson-Drawing in Public Policy: A Guide to Learning Across Time and Space*. Chatham, NJ: Chatham House.

Recommended Reading:

- [Anonymous] 2006. When Do Policy Innovations Spread? Lessons from Advocates of Lesson-Drawing. *Harvard Law Review*. 119(5): 1467-87.
- Mintrom, Michael. 2000. *Policy Entrepreneurs and School Choice*. Washington, D.C.: Georgetown University Press.
- Rogers, Everett M. 1995. *The Diffusion of Innovations*, 4th ed. New York: The Free Press.
- Gray, Virginia. 1973. Innovation the States: A Diffusion Study. *American Political Science Review*. 57: 1174-85.
- Baumgartner, Frank R.
- Mooney, Christopher Z. and Mei-Hsien Lee. 1995. Legislating Morality in the American States: The Case of Pre-Roe Abortion Regulation Reform. *American Journal of Political Science* 39.

Glick, Henry R. and Scott P. Hays. 1991. Innovation and Reinvention in State Policymaking: Theory and the Evolution of Living Will Laws. *Journal of Politics* 53.

5-3 TAKE-HOME EXAM DUE BY 6:00 PM; NO CLASS