

University of Illinois at Chicago  
College of Urban Planning and Public Affairs

**PUBLIC ADMINISTRATION 523**  
**INTERGOVERNMENTAL MANAGEMENT**

Spring 2009  
W 6-9 PM  
Call no. 28754  
Room # A3 LC

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**I. Course Overview.**

This course is designed to provide an understanding of the dynamics of and interrelationships among and between the federal, state, and local levels of government. It will also analyze the origins, evolution, controversies, and prospects for survival of the American federal system. The subject of intergovernmental relations and management has consistently engendered intense scrutiny and much controversy throughout America's entire history from before birth and through the current era. Every major domestic policy problem debated and decided through our nation's history has involved important intergovernmental aspects. Even today, such major policy areas as health care, the environment, education, civil rights, and state and local economic development contain thorny issues related to intergovernmental management. Moreover, intergovernmental management in the United States is now facing many new challenges caused by the myriad economic, technological and demographic trends of the new millennium. All of these trends will continue to have a significant and direct effect on the fiscal capacity of the different levels of government in the United States.

The beginning of this course will explore debates over federalism, and issues/challenges for management and policy. This course will examine the constitutional origins of federalism in the United States, the evolution of federalism over time, the role of state and local governments in the federal system, competition and cooperation among sub-national governments, intergovernmental relations and public finance, and global federalism. Emphasis will be placed on the student's analysis and application of intergovernmental management concepts in the context of American public policy and administration.

As a seminar participant, students are expected to:

- Contribute to the discussion by viewing both reading and familiar practices with a critical perspective
- Apply the theories and concepts to their own experiences
- Actively share the results of their own investigations and analysis undertaken in this course in class discussions and small group work

## **II. Course Requirements and Policies.**

**Attendance and Participation.** Enrollment in the course will be taken as *prima facie* evidence of the student's commitment to complete the assigned work on a timely basis. Consequently, you are expected to attend each class, and to be present when each class begins, so as not to waste precious class time. The quality of any graduate seminar is driven by the contributions of the students. You are expected to read and comprehend each of the readings assigned for that week. Your responsibilities as a seminar participant include offering thoughts on topics and discussion points, helping to integrate ideas, addressing the questions raised by other students and/or the instructor, participating in group assignments during class time, and generally contributing to classroom discussion.

In addition, each week two or three students will serve as discussion leaders on selected readings for the week. In this role, the discussion leaders should: 1) provide a brief summary of the readings' main points, 2) state what they found positive about the readings (e.g., theoretical approach, use of methodology, insights into practice of management, contribution to research, etc.), 3) state your critique (e.g., deficiencies in theory, weaknesses in research method, weak presentation, inconsistent conclusion, etc.), and 4) discuss the implications of the readings for public management and/or public finance.

Each discussion leader will have ten minutes for his/her oral presentation. Less than half of the time should be used for summarizing the reading's main points since you should expect that everyone in the seminar has read your article(s). Leading a reading discussion does not exempt you from being familiar with the other readings for that class period. Also, students not leading a discussion should not rely on the presentations as your guide to the readings. In some cases, a student will be asked to discuss more than one reading for a particular week. Seminar attendance and participation (including discussion leading) constitutes approximately 20% of the final grade.

**Examination.** There will be one examination about three-fourths through the semester. This exam will be in-class, written and comprehensive. Make-up examinations will only be given under dire circumstances (extreme illness or a death in the family); however, the instructor must be notified prior to the exam and has the right to ask different questions on a make-up exam. The examination is scheduled for Wednesday April 8<sup>th</sup> and it will constitute approximately 35% of the final grade.

**Case Study.** Each student will be responsible for writing a case study analysis on a case distributed by the instructor. Specific details of this assignment will be disseminated later in the semester. The case study is due on Wednesday February 25<sup>th</sup> and it will constitute approximately 15% of the final grade.

**Research Paper and Presentation.** A 15-page research paper on an intergovernmental management or policy topic is required. The instructor must approve the topic in advance. An overview of the research paper will be presented orally to class during two sessions at the end of the semester. The final paper and presentation is due on Wednesday May 6<sup>th</sup>. The paper and presentation constitute 25% and 5%, respectively, of the final grade.

**Grading.** The approximate weighting for grading purposes is as follows:

Attendance and Participation	20
Case Study (February 25, 2009)	15
Examination (April 8, 2009)	35
Research Paper and Presentation (May 6, 2009)	<u>30</u>
TOTAL POINTS AVAILABLE	100 pts.

The grading scale is as follows:

90 – 100 points	A
80 – 89 points	B
70 – 79 points	C
60 – 69 points	D
Below 60 points	F

**Course Policies.** Excused absences are possible, provided that the instructor is notified. However, it is the sole responsibility of the student to find out *from another student* what he/she missed in class due to any absence. Students should be advised that over the course of the semester, a pattern of poor attendance, inappropriate, rude, and/or (in extreme cases) uncivil behavior, will result in deductions from the final computed course grade. The University of Illinois at Chicago Code of Student Conduct is in effect. Every effort should be made to maintain a respectful learning environment at all times. *No Exceptions.*

Late work will be downgraded one full letter grade for each day it is late and will not be accepted more than 48 hours after the due date. I will consider making individual exceptions to this policy, but only if an exception is requested in advance, is legitimate, and can be documented.

### **III. Required Readings.**

The following texts are required for purchase.

Timothy J. Conlan and Paul L. Posner, Editors, Intergovernmental Management for the 21<sup>st</sup> Century, 1<sup>st</sup> edition, Brookings Institution Press, 2008. (noted as “Conlon and Posner” hereinafter)

Laurence J. O’Toole Jr., Editor, American Intergovernmental Relations, 4<sup>th</sup> edition, CQ Press, 2007. (noted as “O’Toole” hereinafter)

Other readings will be available online through specified websites, or accessible through the Blackboard website for the course.

### **IV. Topics and Assignments.**

January 14     *Course Introduction and Orientation*

January 21 *Origins of American Federalism*

The federalists:

Federalist # 3, 6-10, 17-22, 32, 33, 39, 40, 42, 45, 46, 51  
at <http://lcweb2.loc.gov/const/fed/fedpapers.html>

January 28 *Origins of American Federalism*

The anti-federalists:

John Dewitt #1, 2 at <http://www.constitution.org/afp/dewitt00.htm>  
Anti-federalist #29 at <http://www.constitution.org/afp/pennmi00.htm>  
Federal Farmer #1, 2 at <http://www.constitution.org/afp/fedfar00.htm>  
Anti-federalist #4 at <http://www.wepin.com/articles/afp/afp04.html>  
Anti-federalist #33 <http://www.constitution.org/afp/brutus06.htm>

Martin Diamond, “What the Framers Meant by Federalism” (O’Toole)

Pietro Nivola. “Why Federalism Matters” at  
[http://www.brookings.edu/papers/2005/10governance\\_nivola.aspx](http://www.brookings.edu/papers/2005/10governance_nivola.aspx)

February 4 *Evolution of American Federalism*

Laurence O’Toole, “Overview” (O’Toole)

Morton Grodzins, “The Federal System” (O’Toole)

Harry Scheiber, “The Condition of American Federalism: An Historian’s View”  
(O’Toole)

Timothy Conlon and Paul Posner, “Introduction: Intergovernmental Management  
and the Challenges Ahead” (Conlon and Posner)

Timothy Conlon, “Between a Rock and a Hard Place: The Evolution of American  
Federalism” (Conlon and Posner)

Richard Nathan, “Updating Theories of American Federalism” (Conlon and Posner)

Edward Rubin, “Puppy Federalism and the Blessings of America” (O’Toole)

Jonathan Walters, “Intergovernmental Relations and Federalism: Its Past, Present,  
and Future and Does Anyone Care” (O’Toole)

Richard Nathan, Thomas Gais, and James Fossett, “Bush Federalism: Is there one,  
what is it, and how is it different” at

[http://rockinst.org/pdf/federalism/2003-11-07-bush\\_federalism\\_is\\_there\\_one\\_what\\_is\\_it\\_and\\_how\\_does\\_it\\_differ.pdf](http://rockinst.org/pdf/federalism/2003-11-07-bush_federalism_is_there_one_what_is_it_and_how_does_it_differ.pdf)

February 11 *State Governments in the Federal System*

Daniel Elazar, American Federalism: A View from the States (1972), chapter 4 (Blackboard)

Thomas Gais and James Fossett, “Federalism and the Executive Branch” at [http://rockinst.org/pdf/federalism/2005-federalism\\_and\\_the\\_excutive\\_branch.pdf](http://rockinst.org/pdf/federalism/2005-federalism_and_the_excutive_branch.pdf)

Donald Doernberg, “The New Federalism (O’Toole)

Ann Bowman, “Trends and Issues in Interstate Cooperation” (O’Toole)

Daniel Halberstam and Roderick Hills, “State Autonomy in Germany and the United States” (O’Toole)

Dwight Denison, Merl Hackbart and Michael Moody, “Davis vs. Department of Revenue of Kentucky: A Preliminary Assessment” at [http://www.ifigr.org/publication/ifir\\_working\\_papers/IFIR-WP-2007-03.pdf](http://www.ifigr.org/publication/ifir_working_papers/IFIR-WP-2007-03.pdf)  
Only read pages 1 to 7

February 18 *Local Governments in the Federal System*

Robert Reischauer, “Governmental Diversity: Bane of the Grants Strategy in the United States” (O’Toole)

Anne Marie Cammisa, “Governments as Interest Groups” (O’Toole)

Michael Pagano, “Metropolitan Limits: Intrametropolitan Disparities and Governance in US Laboratories of Democracy” at [http://books.nap.edu/openbook.php?record\\_id=6038&page=253](http://books.nap.edu/openbook.php?record_id=6038&page=253)

New Regionalism and its Policy Agenda (A Symposium), *State and Local Government Review* 32:3 (Fall 2000) – read all articles – (electronic journal found through UIC library system)

Brett Hawkins, Stephen Percy and Steven Montreal, “Residential Community Associations and the American Intergovernmental System” *Publius* (Summer 1997) (electronic journal found through UIC library system)

February 25 *Intergovernmental Regulation – Case Study Analysis Due*

Martha Derthick, “Ways of Achieving Federal Objectives” (O’Toole)

US ACIR, “The Techniques of Intergovernmental Regulation” (O’Toole)

US ACIR, “The Role of Federal Mandates in Intergovernmental Relations: Draft Report” (O’Toole)

Paul Posner, “Mandates: The Politics of Coercive Federalism” (Conlon and Posner)

Robert Agranoff and Michael McGuire, “Another Look at Bargaining and Negotiating in Intergovernmental Management” (O’Toole)

March 4 *Intergovernmental Finance*

Wallace Oates, Fiscal Federalism (1972), chapter one (Blackboard)

Wallace Oates, “An Essay on Fiscal Federalism” *Journal of Economic Literature*, (September 1999) (electronic journal found through UIC library system)

James Buchanan and Richard Musgrave, Public Finance and Public Choice (1999), Chapter 4 (Blackboard)

Fiscal Survey of the States 2008 at <http://www.nasbo.org/Publications/PDFs/Fall2008FiscalSurvey.pdf>

City Fiscal Conditions at [http://66.218.181.91/ASSETS/A49C86122F0D4DBD812B91DD5777F04D/CityFiscal\\_Brief\\_08-FINAL.pdf](http://66.218.181.91/ASSETS/A49C86122F0D4DBD812B91DD5777F04D/CityFiscal_Brief_08-FINAL.pdf)

Roy Bahl, “The Growing Fiscal and Economic Importance of State and Local Governments 1984 (Blackboard)

Raymond Scheppach and Frank Shafroth, “Intergovernmental Finance in the New Global Economy” (Conlon and Posner)

Organization for Economic Co-operation and Development, “Fiscal Relations across Levels of Government” (O’Toole)

March 11 *Intergovernmental Finance*

George Break, “The Economics of Intergovernmental Grants” (O’Toole)

Phillip Monypenny, "Federal Grants-in-Aid to State Governments: A Political Analysis" (O'Toole)

Alberta Sbragia, "Entrepreneurial Cities, U.S. Federalism, and Economic Development" (O'Toole)

US ACIR, "Why Categorical Grants" (O'Toole)

David Brunori, "Financing Local Government in a Changing World" (O'Toole)

Pietro Nivola, "Tense Commandments: Federal Prescriptions and City Problems" (O'Toole)

George Marlin, "Municipal Finance: A Historic Overview" in The History of Municipal Finance (1991) pages 29-31 (Blackboard)

Craig Johnson, "Managing Financial Resources to Meet Environmental Infrastructure Needs: The Case of State Revolving Funds" (Blackboard)

Jay Ryu, "Fiscal Impacts of an Innovative Highway Financing Alternative on State Highway Expenditures: The Case of Federal Assistance Funds in the State Infrastructure Bank (SIB) Program" *Public Works Management and Policy* (July 2006) (electronic journal found through UIC library system)

Robert Puentes and David Warren, "Today's Roads with Tomorrow's Dollars: Using GARVEE Bonds to Finance Transportation Projects" Brookings Institution Report (March 2005) (Blackboard)

March 18 *Intergovernmental Management in Specific Policy Areas*

Charles Wise and Rania Nader, "Developing a National Homeland Security System: An Urgent and Complex Task in Intergovernmental Relations" (Conlon and Posner)

Kenneth Wong, "Accountability and Innovation: New Directions in Education Policy and Management" (Conlon and Posner)

Jocelyn Johnston, "Welfare Reform: A Devolutionary Success?" (Conlon and Posner)

Carol Weissert and William Weissert, "Medicaid Waivers: License to Shape the Future of Fiscal Federalism" (Conlon and Posner)

Barry Rabe, "Regionalism and Global Climate Change Policy: Revisiting Multistate Collaboration as an Intergovernmental Management Tool" (Conlon and Posner)

March 25     *Spring Break – No Class*

April 1       *Governance and Intergovernmental Relations*

Shelley Metzenbaum, “From Oversight to Insight: Federal Agencies as Learning Leaders in the Information Age” (Conlon and Posner)

Beryl Radin, “Performance Management and Intergovernmental Relations” (Conlon and Posner)

Carl Stenberg, “Block Grants and Devolution: A Future Tool?” (Conlon and Posner)

Tim Conlon, “From Cooperative to Opportunistic Federalism: Reflections on the Half Century Anniversary of the Commission on Intergovernmental Relations” *Public Administration Review* (September-October 2006) (electronic journal found through UIC library system)

Michael McGuire, “Intergovernmental Management: A View from the Bottom” *Public Administration Review* (September-October 2006) (electronic journal found through UIC library system)

Paul Posner and Timothy Conlon, “Managing Complex Problems in a Compound Republic” (Conlon and Posner)

April 8       *Examination*

April 15      *Global Federalism*

Roy Bahl and Sally Wallace, “Public Financing in Developing and Transition Countries” *Public Budgeting and Finance* (2005) (electronic journal found through UIC library system)

Martin Laffin and Alys Thomas, “The United Kingdom: Federalism in Denial?” *Publius* 29:3 (Summer 1999) (electronic journal found through UIC library system)

Maria Escobar-Lemmon, “Fiscal Decentralization and Federalism in Latin America” *Publius* 31:4 (Fall 2001) (electronic journal found through UIC library system)

Gabriele Ferrazzi, "Using the 'F' Word: Federalism in the Indonesian Decentralization Discourse" *Publius* 30:2 (Spring 2000) (electronic journal found through UIC library system)

Victoria Rodriguez, "Recasting Federalism in Mexico" *Publius* (Winter 1998) (electronic journal found through UIC library system)

Brian Dollery, "An Initial Evaluation of Revenue-Sharing Arrangements in the New South African Fiscal Federalism" *Publius* (Spring 1998) (electronic journal found through UIC library system)

Eghosa Osaghae, "The Status of State Governments in Nigerian Federalism" *Publius* (Fall 1991) (electronic journal found through UIC library system)

Robert Sharlet, "The Prospects for Federalism in Russian Constitutional Politics" *Publius* (Spring 1994) (electronic journal found through UIC library system)

Robert Dorff, "Federalism in Eastern Europe: Part of the Solution or Part of the Problem" *Publius* (Spring 1994) (electronic journal found through UIC library system)

April 22      *Paper Presentations*

April 29      *Paper Presentations*

May 6<sup>th</sup>      *Research Paper Due*