

# Introduction to Theories of Public Policy

Professor Michael D. McGinnis

Fall 2013

Meets Wednesday 3:15 – 5:15, Ostrom Room, 513 N. Park

## Political Science Y565: Approaches and Issues in Public Administration, Law, and Policy

Section 13883

## SPEA V690: Seminar in the Policy Process

Section 12008

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Course website: <https://oncourse.iu.edu/portal>

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This seminar introduces graduate students to alternative theoretical perspectives that are especially important in the scholarly study of public policy. It is primarily designed for students in the Joint Ph.D. program in Public Policy as well as students specializing in the field of Public Policy in Political Science, but students from other programs are welcome as well. We will examine the standard range of theoretical approaches, including policy stages, policy sciences, incrementalism, new institutionalisms of the economic, sociological, and historical varieties, public choice, policy networks, advocacy coalitions, punctuated equilibrium, veto players, network governance, and discourse analysis. Each student will be asked to complete a voluminous amount of readings in diverse perspectives, with the expectation that each will delve into the details of methods most appropriate for their own research plans in other seminars. Most readings will be analytical or conceptual in focus, but along the way students will get exposed to the details of a few selected areas of substantive policy.

Except for textbooks, all readings will be available on OnCourse <https://oncourse.iu.edu/portal>.

Assigned textbooks (available for purchase and on reserve in Wells Library) include:

Paul A. Sabatier, ed. *Theories of the Policy Process*, 2<sup>nd</sup> edition, Boulder, CO: Westview, 2007, ISBN 978-0-8133-4359-4

Kevin B. Smith and Christopher W. Larimer, *The Public Policy Theory Primer*, 2<sup>nd</sup> edition, Boulder, CO: Westview, 2013, ISBN 978-0-8133-4749-3

John Groenewegen, Antoon Spithoven, and Annette van den Berg, *Institutional Economics: An Introduction*, New York: Palgrave Macmillan (St. Martin's), 2010, ISBN 978-0-230-55074-2

Christopher Koliba, Jack W. Meek, and Asim Zia, *Governance Networks in Public Administration and Public Policy*, Boca Raton, FL: CRC Press (Taylor & Francis), 2011. ISBN: 978-1-4200-7126-9

<b>Date &amp; Topic</b>	<b>Reading Assignments</b>
1. Aug. 28 Introduction to seminar	Discuss syllabus during first class session
2. Sept. 4 Overview of Policy Field	Smith and Larimer, <i>The Public Policy Theory Primer</i> , entire (skim chaps. 6-7) Burris, Scott, Michael Kempa, and Clifford Shearing. 2008. "Changes in Governance: A Cross-Disciplinary Review of Current Scholarship," <i>41 Akron Law Review</i> , 1-12
3. Sept. 11 Some Key Concepts	Simon, Herbert A. (1955). 'A Behavioral Model of Rational Choice,' <i>Quarterly Journal of Economics</i> 69 (1), 99-118. Lindblom, Charles E. 1959. "The Science of Muddling Through," <i>Public Administration Review (PAR)</i> 19 (2), 79-88. Allison, Graham. 1969. "Conceptual Models and the Cuban Missile Crisis," <i>American Political Science Review (APSR)</i> 63 (3), 689-718. March, James G., and Johan P. Olsen. 2006. "The Logic of Appropriateness," in Michael Moran, Martin Rein, and Robert E. Goodin, eds., <i>The Oxford Handbook of Public Policy</i> , pp. 689-708. Lowi, Theodore J. 1964. "American Business, Public Policy, Case Studies, and Political Theory," <i>World Politics</i> 16 (4), 677-715. Tiebout, Charles M. 1956. "A Pure Theory of Local Expenditure," <i>Journal of Political Economy</i> 64 (5), 416-424.
4. Sept. 18 The Most Influential Frameworks	Sabatier, <i>Theories of the Policy Process</i> , 2 <sup>nd</sup> edition, entire  1. The need for better theories, Paul A. Sabatier 2. Institutional rational choice: an assessment of the institutional analysis and development framework, Elinor Ostrom 3. The multiple streams framework, Nikolaos Zahariadis 6. Punctuated-equilibrium theory: explaining stability and change in public policymaking, James L. True, Bryan D. Jones, and Frank R. Baumgartner 7. The advocacy coalition framework: innovations and clarifications, Paul A. Sabatier and Hank C. Jenkins-Smith  4. Social Construction and Policy Design, Helen Ingram, Anne Schneider, and Peter deLeon 5. The Network Approach, Silke Adam and Hanspeter Kriesi 8. Innovation and diffusion models in policy research, Frances Berry and William Berry 9. The policy process and large-N comparative studies, William Blomquist  10. A comparison of frameworks, theories, and models of policy processes, Edella Schlager 11. Fostering the development of policy theory, Paul A. Sabatier.

<p>5. Sept. 25 Other Frameworks</p>	<p>Bryson, John M., Barbara C. Crosby, and Melissa Middleton Stone. 2006. "The Design and Implementation of Cross-Sector Collaborations: Propositions from the Literature," <i>Public Administration Review</i>, 66 (s1), December 2006 special issue, pp. 44-55.</p> <p>Emerson, Kirk, Tina Nabatchi, Stephen Balogh. 2011. "An Integrative Framework for Collaborative Governance," <i>JPART</i> 22:1–29.</p> <p>Real-Dato, José. 2009. "Mechanisms of Policy Change: A Proposal for a Synthetic Explanatory Framework," <i>Journal of Comparative Policy Analysis: Research and Practice</i>, 11:1, 117-143.</p> <p>Weible, Christopher M., Tanya Heikkila, Peter deLeon, and Paul A. Sabatier. 2012 "Understanding and Influencing the Policy Process," <i>Policy Sciences</i> 45:1-21.</p> <p>Fligstein, Neil and Doug McAdam. 2011. "Toward a General Theory of Strategic Action Fields," <i>Sociological Theory</i> 29:1 March 2011</p> <p>Anderies, John M., Carl Folke, Brian Walker and Elinor Ostrom. 2013. "Aligning Key Concepts for Global Change Policy: Robustness, Resilience, and Sustainability". <i>Ecology and Society</i> 18(2) (2013): 8</p> <p>Lubell, Mark. 2013. "Governing Institutional Complexity: The Ecology of Games Framework," <i>Policy Studies Journal</i> 41(3), 537-559.</p> <p>Feiock, Richard C. 2013. "The Institutional Collective Action Framework," <i>Policy Studies Journal</i> 41(3), 397-425.</p>
<p>6. Oct. 2 Institutions in Economics and Policy</p>	<p>Groenewegen, <i>Institutional Economics</i>, chapters 1-4, pp. 1-159</p> <p>Ostrom, Vincent, Charles M. Tiebout, and Robert Warren. 1961. "The Organization of Government in Metropolitan Areas: A Theoretical Inquiry." <i>American Political Science Review</i> 55 (4), 831–42.</p> <p>Mitchell, William C. 1988. "Virginia, Rochester, and Bloomington," <i>Public Choice</i> 56, 101-119.</p>
<p>7. Oct. 9 Institutions of the Private Sector</p>	<p>Groenewegen, <i>Institutional Economics</i>, Part III, pp. 160-261</p> <p>Lobel, Orly. 2012. "New Governance as Regulatory Governance," in David Levi-Faur, ed. <i>Oxford Handbook of Governance</i>, 2012, pp. 65-82.</p> <p>van Waarden, Frans. 2012. "The Governance of Markets: On Generating Trust in Transactions," in David Levi-Faur, ed. <i>Oxford Handbook of Governance</i>, 2012, pp. 355-371.</p>
<p>8. Oct. 16 No class meeting</p>	<p>Submit preliminary draft statement of research question and likely approaches to be covered in final paper, for comments by instructor.</p>

<p><b>9. Oct. 23</b>  <b>Institutions of</b>  <b>the Public Sector</b></p>	<p>Groenewegen, <i>Institutional Economics</i>, Part IV, pp. 262-368</p> <p>Carrigan, Christopher, and Cary Coglianese. 2011. "The Politics of Regulation: From New Institutionalism to New Governance," <i>Annual Review of Political Science</i>, 14: 107-29.</p> <p>Klijn, Erik Hans. 2012. "New Public Management and Governance: A Comparison," in David Levi-Faur, ed. <i>Oxford Handbook of Governance</i>, 2012, pp.201-214.</p> <p>Hooghe, Liesbet, and Gary Marks. 2003. "Unraveling the Central State, but How? Types of Multi-Level Governance." <i>American Political Science Review</i> 97(2): 233–43.</p> <p>Skelcher, Chris. 2005. "Jurisdictional Integrity, Polycentrism, and the Design of Democratic Governance," <i>Governance: An International Journal of Policy and Administration</i> 18 (1), 89-110.</p> <p>Zürn, Michael. 2012. "Global Governance as Multi-Level Governance," in David Levi-Faur, ed. <i>Oxford Handbook of Governance</i>, 2012m pp. 730-744.</p>
<p><b>10. Oct. 30</b>  <b>The Third</b>  <b>Sector(s)</b></p>	<p>Steinberg, Richard. 2006. "Economic Theories of Nonprofit Organizations," in Walter W. Powell and Richard Steinberg, eds., <i>The Non-Profit Sector: A Research Handbook</i>, 2<sup>nd</sup> edition, Yale University Press, pp. 117-139.</p> <p>Smith, Steven Rathgeb, and Kirsten A. Grønbjerg. 2006. "Scope and Theory of Government-Nonprofit Relations," in Walter W. Powell and Richard Steinberg, eds., <i>The Non-Profit Sector: A Research Handbook</i>, 2<sup>nd</sup> edition, pp. 221- 242.</p> <p>Beer, Christopher Todd, Tim Bartley, and Wade T. Roberts. 2012. "NGOs: Between Advocacy, Service Provision, and Regulation," in David Levi-Faur, ed. <i>Oxford Handbook of Governance</i>, 2012, pp. 325-338.</p> <p>Read at least three of the following:</p> <p>Smith, David Horton. 1997. "The International History of Grassroots Associations," <i>International Journal of Comparative Sociology</i> 38 (3-4), 189-216.</p> <p>Balleisen, Edward J. 2010. "The Prospects for Effective Coregulation in the United States: A Historian's View from the Early Twenty-First Century, in Edward J. Balleisen and David A. Moss, eds., <i>Government and Markets: Toward a New Theory of Regulation</i>, Cambridge University Press, pp. 443-481.</p> <p>McCabe, Barbara Coyle. 2011. "Homeowners Associations as Private Governments: What We Know, What We Don't Know, and Why It Matters," <i>Public Administration Review</i> 71(4): 535–542; plus other articles included in HOAs as Private Governments: A Special Mini-Symposium, pp. 535-558.</p> <p>Prakash, Aseem, and Matthew Potoski. 2007. "Collective Action Through Voluntary Environmental Programs: A Club Theory Perspective," <i>Policy Studies Journal</i> 35 (4), 773-792</p> <p>Cooley, Alexander, and James Ron. 2002. "The NGO Scramble: Organizational Insecurity and the Political Economy of Transnational Action," <i>International Security</i> 27:1, (Summer 2002), 5-39.</p> <p>Zamagni, Vera Negri. 2012. "Interpreting the Roles and Economic Importance of Cooperative Enterprises in a Historical Perspective," <i>Journal of Entrepreneurial and Organizational Diversity</i>, 1 (1), 21-36.</p>

<p><b>11. Nov. 6 Non-Economic Institutionalisms</b></p>	<p>Hall, Peter A. and Rosemary C.R. Taylor. 1996. "Political Science and the Three New Institutionalisms," <i>Political Studies</i> 44, 936-957.</p> <p>Pierson, Paul. 2003. "Big, Slow-Moving, and ... Invisible: Macrosocial Processes in the Study of Comparative Politics," in <i>Comparative Historical Analysis in the Social Sciences</i>, ed. James Mahoney, Dietrich Rueschemeyer, Cambridge, 177-207.</p> <p>Peters, B. Guy, Jon Pierre, and Desmond S. King. 2005. "The Politics of Path Dependency: Political Conflict in Historical Institutionalism," <i>Journal of Politics</i> 67 (4), 1275-1300.</p> <p>READ ONE OF</p> <p>Mettler, Suzanne, and Joe Soss. 2004. "Consequences of Public Policy for Democratic Citizenship: Bridging Policy Studies and Mass Politics," <i>Perspectives on Politics (POP)</i> 2 (1), 55-73.</p> <p>Mettler, Suzanne, and Andrew Milstein. 2007. "American Political Development from Citizens' Perspective: Tracking Federal Government's Presence in Individual Lives over Time," <i>Studies in American Political Development</i> 21 (1), 110-130.</p> <p>READ AT LEAST TWO OF</p> <p>Dryzek, John S. 2006. "Policy Analysis as Critique," in Michael Moran, Martin Rein, and Robert E. Goodin, eds., <i>The Oxford Handbook of Public Policy</i>, pp. 190-203.</p> <p>Edelman, Lauren B., and Mark C. Suchman. 1997. "The Legal Environments of Organizations," <i>Annual Review of Sociology</i> 23, 479-515.</p> <p>Hajer, Maarten, and David Laws. 2006. "Ordering Through Discourse," in Michael Moran, Martin Rein, and Robert Goodin, <i>The Oxford Handbook of Public Policy</i>, pp. 251-268.</p> <p>Schmidt, Vivien A. 2008. "Discursive Institutionalism: The Explanatory Power of Ideas and Discourse," <i>Annual Review of Political Science</i> 11, 303-326.</p> <p>Shanahan, Elizabeth A., Michael D. Jones, Mark K. McBeth, and Ross R. Lane. 2013. "An Angel on the Wing: How Heroic Policy Narratives Shape Policy Realities," <i>Policy Studies Journal</i> 41 (3), 453-483.</p>
<p><b>12. Nov. 13 Policy Instruments</b></p>	<p>Weimer, David L., and Aidan R. Vining. 2010. "Correcting Market and Government Failures: Generic Policies," chapter 10 in <i>Policy Analysis: Concepts and Practice</i>, 5<sup>th</sup> edition, Boston: Longman, 2011, pp. 209-262. [Other editions should be similar]</p> <p>Salamon, Lester M. 2002. "The New Governance and the Tools of Public Action: An Introduction," in Lester M. Salamon, ed., <i>The Tools of Government: A Guide to the New Governance</i>, Oxford University Press, pp. 1-47.</p> <p>Lascombes, Pierre, and Patrick Le Gales. 2007. "Introduction: Understanding Public Policy through Its Instruments—From the Nature of Instruments to the Sociology of Public Policy Instrumentation," <i>Governance</i> 20 (1), 1-21.</p> <p>Howlett, Michael. 2009. "Governance Modes, Policy Regimes, and Operational Plans: A Multi-Level Nested Model of Policy Instrument Choice and Policy Design," <i>Policy Sciences</i> 42(1): 73-89.</p> <p>Radin, Beryl A., and Posner, Paul. 2010. "Policy Tools, Mandates, and Intergovernmental Relations," In Durant, Robert F., ed., <i>The Oxford Handbook of American Bureaucracy</i></p> <p>May, Peter J. and Ashley E. Jochim. 2013 "Policy Regime Perspectives: Policies, Politics, and Governing," <i>Policy Studies Journal</i> 41(3), 426-452.</p>

<p>13. Nov. 20 Networks I: Concepts</p>	<p>Koliba et al., <i>Governance Networks</i>, chapters 1-6, pp. 1-162</p> <p>McGuire, Michael and Robert Agranoff. 2010. "Networking in the Shadow of Bureaucracy," In Durant, Robert F., ed., <i>The Oxford Handbook of American Bureaucracy</i>, 372-394</p> <p>McGinnis, Michael D. and Elinor Ostrom. 2012. "Reflections on Vincent Ostrom, Public Administration, and Polycentricity," <i>Public Administration Review</i> 72:1 (Jan/Feb), 15-25.</p> <p>Feiock, Richard C. 2007. "Rational Choice and Regional Governance," <i>Journal of Urban Affairs</i> 29(1) 47-63. OR Re-read Feiock, Richard C. 2013. "The Institutional Collective Action Framework," <i>Policy Studies Journal</i> 41(3), 397-425.</p>
<p>-----</p>	<p>----- <b>Thanksgiving Break</b></p>
<p>14. Dec. 4 Networks II: Governance</p>	<p>Koliba et al., <i>Governance Networks</i>, chapters 7-9, pp. 163-260</p>
<p>15. Dec. 11 Networks III: Implementation</p> <p>Complete course evaluations</p>	<p>Koliba et al., <i>Governance Networks</i>, chapters 10-12, pp. 261-306</p> <p>Pressman, Jeffrey L., and Aaron B. Wildavsky. 1973. <i>Implementation: How Great Expectations in Washington Are Dashed in Oakland; Or, Why It's Amazing that Federal Programs Work at All, This Being a Saga of the Economic Development Administration as Told by Two Sympathetic Observers Who Seek to Build Morals on a Foundation of Ruined Hopes</i>. Chapters 1, 2, 5, 6, pp. 1-34, 87-146. Berkeley: Univ. of California Press. [SKIM]</p> <p>Maynard-Moody, Steven, and Portillo, Shannon. 2010. "Street-Level Bureaucracy Theory." In Durant, Robert F., ed., <i>The Oxford Handbook of American Bureaucracy</i>.</p> <p>Olsen, Johan P. 2005. "Maybe It Is Time to Rediscover Bureaucracy," <i>Journal of Public Administration Research and Theory</i> 16: 1-24.</p> <p>Perry, James L., Debra Mesch, and Laurie Paarlberg. 2006. "Motivating Employees in a New Governance Era: The Performance Paradigm Revisited," <i>PAR</i> 66 (4), 505-514</p>
<p>Finals Week No meeting</p>	<p>Papers due Thursday 5 PM</p>

**Grading:** A student's seminar grade will be based on three equally weighted components:

1. **Class participation is essential!!** Grades for participation will be based on both the quantity and quality of a student's contribution, with quality assigned the most weight.
2. **Discussion Memos.** To facilitate vigorous class discussions, students will be submit **at least three memos** on the readings. Distribution of these assignments over the semester will be negotiated during the initial class session.
  - a. Grades will be assigned to each memo and the average grade recorded. Students have the option of submitting an additional memo to improve their average grade.
  - b. Each memo should be **BRIEF** and should raise an issue or question from the readings that you consider worth discussing in class. **DO NOT SUMMARIZE THE READINGS** (except what is needed to set up you question or comment). Instead, **focus on a key aspect** of one or more of that week's assigned readings.
  - c. Good memos should be **constructive**, in the sense of helping us better understand and, if possible, to improve upon his/her/their analysis by (1) clarifying concepts, (2) improving methods, (3) suggesting an especially apt example or counter-example, (4) making connections to critical sources not cited or (5) to other potentially relevant bodies of research literature, including other assigned readings from this seminar.
  - d. **Come to class prepared to explain your memo** during class discussions. Any demonstrated inability to do so will significantly lower your class participation score.
  - e. Submission deadline is **5 PM Tuesday** before Wednesday's class session. This amount of lead time is necessary to give the instructor and other students an opportunity to examine the memos before class.
3. **Final Paper.** Students will be asked to demonstrate their ability to connect the abstract material covered in this course to a research question or policy concern important to a substantive policy area of their own choosing. Essays will be evaluated on how well the student has made effective use of relevant course material to highlight different aspects of their selected topic.
  - a. Papers should begin with a clear statement of a research question or policy concern which is broad enough to be interesting but not so broad as to be unmanageable.
  - b. In their discussion of alternative perspectives or frameworks, students should make explicit (and appropriate) connections to relevant course material. They should also specify the types of organizations and networks that are most important in that policy area, as well as the critical processes, structures, and other institutional arrangements through which policy outcomes are determined. (Note that different perspectives are likely to highlight different organizations or processes.)
  - c. Conclusions should specify which conceptual frameworks and theoretical perspectives seem most (or least) useful in this area, and explain why. Note that each is likely to have both strengths and weaknesses, both of which are worthy of evaluation.
  - d. All this should be covered in a paper of some 15-20 (double-spaced) pages, provided the authors do not delve too deeply into the details of that particular policy area. Focus should remain on the broader perspective of relevant theories, conceptual frameworks, as applied to important organizations, networks, processes, structures, and institutions.
  - e. Papers will be due on Thursday of finals week, unless otherwise agreed.