

***Governance and Policy Processes***  
**PUBP 502-009**  
**Fall 2007**

**Professor Brent M. Eastwood, Ph.D.**

Public Policy 502-009

George Mason Univ. School of Public Policy

Class Meeting: Monday 7:20p-10p

Arlington Original Building 269 200 105B

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h) 703-820-0604

c) 571-245-0483

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Office Hours: Mon. 4:30p-6:30p and by appointment.

**Purpose of Course**

The purpose of the course is to take a broad view of governance in a U.S., comparative, and international context. First, democratic governance in the U.S. is examined and compared with other modern democracies. Second, focusing on the U.S. as a case study, important changes in the execution of public policy are examined as increasing portions of public policy in democratic, market-based nations are carried out by private sector and non-profit organizations. Third, the course will undertake the comparative analysis of political and governmental systems, including the development of the European Union. It will then take up the persistence of the nation state in the context of globalizing trends along with the governance of international organizations and their impact on the nation state.

**Objectives**

Upon completion of this course, students will be:

- Able to identify and assess the impact of a variety of governmental structures.
- Familiar with contemporary issues of governance.
- Savvy about the varieties and implications of intersector competition.
- Aware of the changing dynamics of national, state, and local governance.
- Conversant with the international dimensions of governance.

# Required Texts

Alesina, Alberto and Edward L. Glaeser. 2005. *Fighting Poverty in the U.S. and Europe: A World of Difference*. Oxford, UK. Oxford University Press. ISBN-10: 0199286108 (Paper).

Fukuyama, Francis. 2005. *State-Building: Governance and World Order in the 21<sup>st</sup> Century*. New Edition. Profile Books. ISBN-10: 1861977042 (Paper).

out of print

Kingdon, John. 1999. *America the Unusual*. New York, NY: St. Martins Press. ISBN-10: 031221734X (Paper.) 36 on Amazon order on consortium lending

Sclar, Elliott D. 2000. *You Don't Always Get What You Pay For: The Economics of Privatization*. Ithaca, NY: Cornell University Press. ISBN-10: 0801487625 (Paper).

Kim, Kenneth A. and John R. Nofsinger. 2006. *Corporate Governance, Second Edition*. Prentice Hall. ISBN 13:978-0131735347

402741.K4713 2004 Farwick

# Recommended Texts

Hamilton, Alexander and James Madison and John Jay. 1961. *The Federalist Papers*. Edited by Charles R. Kesler and Clinton Rossiter. New York: Penguin Putnam.

De Tocqueville, Alexis. 2001. *Democracy in America*. Edited by Richard D. Hefner. New York: Signet Classic.

Strunk, William, Jr. and E.B. White. 2000. *The Elements of Style*. Fourth Edition. New York: Longman.

Turabian, Kate L. 1996. *A Manual for Writers of Term Papers, Theses, and Dissertations*. Sixth Edition. Chicago: University of Chicago Press.

# Class Format

The class is structured more as a graduate seminar rather than lecture format. I will lecture for a while at the beginning of each class. Students are expected to complete all of the week's assigned readings, be prepared to answer questions from the instructor in the Socratic dialogue, and rigorously discuss the readings with the rest of the class. Students should be prepared to make original critical analysis of reading assignments. You will serve as "discussion leader" for one of the week's reading assignments. The purpose of this requirement is to prepare students for speaking in public, delivering presentations, and serving on conference panels.

lecture for a bit

This semester heavy research  
Two articles in review  
1 going out this week  
2 more this fall

Announcement  
I'll lecture  
two people at a table  
opening statements  
questions  
I'll do discussion override

My style \* Don't tape record me  
\* lecture on foundations  
\* Facilitator and tour guide  
\* Your path to discovery + enlightenment  
- You have to do the work  
- come ready to engage

## Course Evaluation

### 1. 25%--Class Participation

- I keep track of each student's quantity and quality of constructive comments and assign grades for participation after each class.
- I expect students to attend each class; however, excused absences with prior approval are permitted. Please notify me in an e-mail prior to your absence and write the course number in the subject line. Inform me of any unforeseen events and we will make the necessary arrangements to for you to make up the work. But please remember 'A' students usually have perfect attendance.
- If you do miss class because of an excused absence, please e-mail me a list of discussion questions on the week's readings so I know you completed the assignments.

### 2. 15%--Discussion Leader

Every student will be assigned the task of leading a class discussion once during the semester. As a discussion leader you will be responsible for preparing questions that are designed to assist your classmates in highlighting important aspects of the week's reading. You will be responsible for moderating and orchestrating a useful and intelligent seminar on the readings of the week. Depending on class size, in all likelihood two people will be co-leaders for any given week. You are also responsible for contacting your co-leader and collaborating on that week's discussion preparations.

### 3. 30%--Five Papers

- Three 5-7 page Literature Review papers.

- Students will choose three weeks in which they write a paper that briefly summarizes and synthesizes the week's readings. The remainder of the paper is comprised of critical analysis from each of the assigned readings. Literature review papers are due at the beginning of class.
- In critical analysis, engage different ideas. Show how the authors differ and how they agree. Contrast different methods of understanding a phenomenon. What types of evidence make a point? Judge whether the reasoning is valid. Look at research methods. How well did the author answer the research questions?

- One 5-7 page "Policy Analyst Briefing Paper."

- Due at the beginning of class **October 22.**
- You are a staff policy analyst and you are writing a briefing memo for your boss in the White House, Congress, or a federal agency that explains the merits and political implications of a certain issue. You can write for the state or local level as well. You pick the governance

Next week  
choose topic,  
partner, and date

Why do we  
write Literature Reviews?  
basis of theory building

some theory in policy analysis is  
research methods  
RAND

$$89.75 \quad 92 \quad 90.7 + 90 = 362.45$$

$$(22.44) + (2.8) = (25.24) = 22.44 + 2.8 = 25.24$$

$$85.915$$

85.915

What is fungibility?

or policy issue. This can be American, Comparative, or International since some policy from other countries is fungible. The purpose of this exercise is to practice presenting complex material to someone who may have to make a policy decision but who does not have the time to look at the issue as thoroughly as you.

- Introduce the topic with adequate background information and address why it is important.
  - Present the pros and cons; analyze the politics and policy.
  - Make policy recommendations. How is this better than the status quo?
  - Cite at least eight scholarly sources, four books, plus newspaper and magazine articles
- **One 5-7 page "Comparative Public Policy Analysis Paper."**
    - Due beginning of class **November 26.**
    - Choose a governance or public policy issue (education, health, fiscal, etc.) and compare the way it is handled in the U.S. and another country or in two separate countries. Use at least eight scholarly articles from peer-reviewed journals and at least four books. You can also use magazine and newspaper articles.
    - How are the policy and governance processes alike? How are they similar? What lessons can US policy-makers learn? What type of study would you design to conduct more empirical research in this area?
  - All papers should be double-spaced with 12-point font.
  - *Turn in both a hard copy and an e-mail copy to me. All papers will be submitted through computer software that checks your paper for plagiarism.*
  - **Use parenthetical notation and references in Chicago (Turabian) style:**
    - (Jones 2006, pg. 21) or Jones (2006).
  - Use a "Works Cited" reference list:
    - "Jones. 2006. "Policy Analysis for Graduate Students." *Public Policy Today*. 86: 21-54.

Hand out  
Parenthetical  
Notation

#### 4. 30%--In-Class Final Examination *closed Notes*

##### Course Grading

The grades A or A- are reserved for sustained excellence and outstanding performance for all aspects of the course. The grades of B and B+ are used to denote mastery of the material and very good performance in all aspects of the course. The grade of B- denotes marginal performance and work that is not up to standards expected of graduate students. The grade of C denotes work that is not acceptable at the graduate level. Students must understand that the program of study at GMU SPP is highly competitive and the caliber of students has been rising consistently over the last several years. Only a few students earn the highest grades in the class. A final class average of 86 or 87 may only correspond to a 'B' grade.

*Some of you will do everything well and still get a B  
You will learn a lot in this class*



### **SPP Policy on Plagiarism**

The profession of scholarship and the intellectual life of a university as well as the field of public policy inquiry depend fundamentally on a foundation of trust. Thus any act of plagiarism strikes at the heart of the meaning of the university and the purpose of the School of Public Policy. It constitutes a serious breach of professional ethics and it is unacceptable.

Plagiarism is the use of another's words or ideas presented as one's own. It includes, among other things, the use of specific words, ideas, or frameworks that are the product of another's work. Honesty and thoroughness in citing sources is essential to professional accountability and personal responsibility. Appropriate citation is necessary so that arguments, evidence, and claims can be critically examined.

Plagiarism is wrong because of the injustice it does to the person whose ideas are stolen. But it is also wrong because it constitutes lying to one's professional colleagues. From a prudential perspective, it is shortsighted and self-defeating, and it can ruin a professional career.

The faculty of the School of Public Policy takes plagiarism seriously and has adopted a zero tolerance policy. Any plagiarized assignment will receive an automatic grade of "F." This may lead to failure for the course, resulting in dismissal from the University. This dismissal will be noted on the student's transcript. For foreign students who are on a university-sponsored visa (e.g. F-1, J-1 or J-2), dismissal also results in the revocation of their visa.

To help enforce the SPP policy on plagiarism, all written work submitted in partial fulfillment of course or degree requirements must be available in electronic form so that it can be compared with electronic databases, as well as submitted to commercial services to which the School subscribes. Faculty may at any time submit student's work without prior permission from the student. Individual instructors may require that written work be submitted in electronic as well as printed form. The SPP policy on plagiarism is supplementary to the George Mason University Honor Code; it is not intended to replace it or substitute for it.

### **Classroom Courtesy**

Civility and respect toward all members of the class is expected; disagreements among members of the class (or with the instructor) are useful and illuminating, but mutual respect is mandatory. If you use a laptop, taking notes is fine. Using the laptop to surf the Internet or send e-mail is not acceptable. *No bullying*

### **Instructions for Electronic Reserves**

<http://oscr.gmu.edu>

"Search Electronic Reserves"

Course "PUBP 502 Section 009" Instructor "Brent M. Eastwood"

E-reserve password is "system"

### **RSS Feeds**

See handout for instructions.

# Governance and Policy Processes

## PUBP 502-009

### Course Outline

All readings  
- Books you bought  
- JSTOR/e-journals  
- online - e-reserves

lecture  
other class got a reading assignment

#### 1. Introduction (August 27)

- a. What is Governance? What is Public Policy?

#### 2. Labor Day (September 3) No Class in New Mexico

#### 3. Theory and Foundations (September 10)

- a. US Constitution <http://www.gpoaccess.gov/constitution/index.html>  
b. Federalist 10 and 51 <http://thomas.loc.gov/home/histdoc/fedpapers.html>  
c. John P. Roche. 1961. "The Founding Fathers: a Reform Caucus in Action." *American Political Science Review*. 55: 799-816. (JSTOR/ e-journals)  
d. E.E. Schattschneider. 1960. *Semisovereign People: A Realist's View of Democracy in America*. Chapter One. "The Contagiousness of Conflict." (e-reserves)  
e. Robert A. Dahl. 1956. A Preface to Democratic Theory. Chapter Five. (Hand Out).  
f. Robert A. Dahl. 1977. "On Removing Certain Impediments to Democracy in the United States." *Political Science Quarterly*. 1:1-20. (JSTOR/ e-journals).  
g. Ted Lowi. 1964. "American Business, Public Policy, Case-Studies, and Political Theory." *World Politics*. 16: 677-715. (JSTOR/ e-journals)

hand out  
copies

e-mailed  
to you

#### 4. American Exceptionalism and Traditional US Governance (Sept. 17)

- a. Kingdon, John. *America the Unusual*. ENTIRE.  
b. Neustadt, Richard. "The Power to Persuade." From *Understanding the Presidency*. Edited by Pfiffner and Davidson. (e-reserves)  
c. Alesina and Glaeser. Chapters 4-5.  
d. Allison, Graham T. 1969. "Conceptual Models and the Cuban Missile Crisis." *The American Political Science Review*. 63: 689-718. (JSTOR/ e-journals)  
e. Aldrich, John A. 2001. "Congress: The Electoral Connection": Reflections on Its First Quarter-Century." *PS: Political Science and Politics*. 34: 255-256. (JSTOR/ e-journals).  
f. Abramowitz, Alan A. 2001. "Mr. Mayhew, Meet Mr. Delay," or the Electoral Connection in the Post-Reform Congress." *PS: Political Science and Politics*. 34: 257-8. (JSTOR/ e-journals).

lecture book

*Incremental Allison lecture*

## 5. Bureaucracy (Sept. 24)

- a. ~~Krasner, Stephen D. 1972. "Are Bureaucracies Important? (Or Allison Wonderland)." *Foreign Policy*. 7:159-179. (JSTOR and e-journals).~~
- b. Pfiffner, James. 1997. "The National Performance Review in Perspective." *International Journal of Public Administration*, 20: 41-70 (Issue One). (e-journals/ NOT IN JSTOR).
- c. Brehm, John and Scott Gates. 2000. *Working, Shirking, and Sabotage*. Chapter One. (e-reserves).
- d. Johnson, Roberta Ann and Michael E. Kraft. 1990. "Bureaucratic Whistle Blowing and Policy Change." *The Western Political Quarterly*. 43: 849-874. (JSTOR/ e-journals).
- e. Sclar, Chapter 5.
- f. Fukuyama, Chapter 2.

## 6. Governing Through Markets: Neo-Classical Economics (October 1)

- a. ~~Sclar, Chapter 14.~~ *One and Three*
- b. Pfiffner, James. 2000. "Government Legitimacy and the Role of the Civil Service" in James P. Pfiffner and Douglas A. Brook, eds., *The Future of Merit Twenty Years After the Civil Service Reform Act*. Washington: Woodrow Wilson Press. (e-reserves). *15-35*
- c. ~~Hicken, Allen; Shanker Satyanath; and Ernest Sergenti. 2005. "Political Institutions and Economic Performance: The Effects of Accountability and Obstacles to Policy Change." *American Journal of Political Science*. 4: 897-907. (JSTOR/ e-journals)~~
- d. Colby, Bonnie G. 2000. "Cap-and-Trade Policy Challenges: A Tale of Three Markets." *Land Economics*. 76: 638-658. (JSTOR/ e-journals)

## 7. Governing Through Markets: US State and Local Government (Oct. 9 Class Meets Tuesday)

- a. Sclar, Chapter ~~5-7~~ *winter*
- b. Pfiffner, James. 1999. "The Public Service Ethic in the New Public Personnel Systems." *Public Personnel Management*. 28: 541-555. (JSTOR/ e-journals). *winter*
- c. De Bettignies, Jean-Etienne and Thomas W. Ross. 2004. "The Economics of Public-Private Partnerships." *Canadian Public Policy*. 30: 135-154. (JSTOR/ e-journals).
- d. Groves, Jeremy R. and Eric Helland. 2002. "Zoning and the Distribution of Location Rents: An Empirical Analysis of Harris County, Texas." *Land Economics*, 78: 28-44. (JSTOR/ e-journals).

*Columbus Day  
Problem for  
anybody. Tuesday*

## 8. International Organizations (Oct. 15)

- a. Alvarez, Jose E. "International Organizations: Then and Now." *The American Journal of International Law*. 100: pp. 324-347. (JSTOR/ e-journals).
- b. Rakove, Jack. 2003. "Europe's Floundering Fathers." *Foreign Policy*. 138: 28-38. (JSTOR/ e-journals)
- c. Tucker, Joshua; Alexander C. Pacek; Adam J. Berinsky. 2002. "Transitional Winners and Losers: Attitudes toward EU Membership in Post-Communist Countries." *American Journal of Political Science*, Vol. 46: 557-571. (JSTOR/e-journals)
- d. "Caring for Climate: Tomorrow's Leadership Today." July, 2007. *UN Global Compact*. Pp. 1-32.  
<http://www.globalcompactsummit.org/docs/UNGC07-CaringForClimate.pdf>
- e. "Riga Summit Reader's Guide." July, 2007. NATO Public Diplomacy Division. Pp. 1-36. <http://www.nato.int/docu/>

## 9. Globalization, Democracy Building, and Governance (Oct. 22)

- a. ***Paper Due: "Policy Analyst Briefing Paper."*** *Bring in copy of*
- b. Rudra, Nita. 2005. "Globalization and the Strengthening of Democracy in the Developing World." *American Journal of Political Science*. 49: 704-730. (JSTOR/ e-journals)
- c. Fukuyama, Chapters 3-4.
- d. Krasner, Stephen D. 2001. "Sovereignty." *Foreign Policy*. January 122: 20-29. (JSTOR/ e-journals).
- e. Keohane, Robert O and Joseph S. Nye, Jr. 2000. "Globalization: What's New? What's Not? (And So What?)." *Foreign Policy*. Spring: 104-119. (JSTOR/ e-journals).
- f. Mansfield, Edward D. and Jack Snyder. 2002. "Democratic Transitions, Institutional Strength, and War." *International Organization*. 56: 297-337. (JSTOR/ e-journals).

## 10. Comparative Public Policy Analysis (Oct. 29)

- a. Alesina and Glaser, Chapter ~~X~~ 6, 7, and 8
- b. Adolino, Jessica R. and Charles H. Blake. "Chapter 8: Health Care Policy," in *Comparing Public Policies: Issues and Choices in Six Industrialized Countries*. Pp. 208-241. (e-reserves).
- c. Pal, Leslie A. and Kent Weaver, eds. "The Politics of Pain," Chapter One in *The Government Taketh Away: The Politics of Pain in the United States and Canada*. Pp.1-29. (e-reserves).
- d. Smith, T. Alexander and Raymond Tatalovich. "Chapter Two. Status Anxiety and Political Ideology," in *Cultures at War: Moral Conflicts in Western Democracies*. Pp. 25-42. (e-reserves).

### 11. International Development (November 5)

- a. Kauffman, Daniel; Art Kraay; Massimo Mastruzzi. "Governance Matters: Aggregate and Individual Governance Indicators, 1996-2006." World Bank, July, 2007, pp. 1-23. [worldbank.org](http://worldbank.org)
- ✓ b. "Poverty, Aid, and Corruption." Transparency International. January, 2007, pp. 1-28.  
[www.transparency.org/index.php/content/download/20572/285905](http://www.transparency.org/index.php/content/download/20572/285905)
- c. Glaeser, Edward L. David Laibson, and Bruce Sacerdote. 2002. "The Economic Approach to Social Capital." Harvard Institute of Economic Research Discussion Paper Number 1916, pp. 1-29.  
<http://post.economics.harvard.edu/hier/2001papers/HIER1916.pdf>
- d. Wei, Shang-Jin. 2000. "Natural Openness and Good Government." National Bureau of Economic Research Working Paper 7765, pp. 1-19.  
<http://ideas.repec.org/p/nbr/nberwo/7765.html>
- e. Birdsall, Nancy. 2003. "Why It Matters Who Runs the IMF and the World Bank." Center for Global Development Working Paper 22, pp. 1-25.  
<http://www.cgdev.org/content/publications/detail/2768>

### 12. Corporate Governance (Nov. 12)

- a. Kim, Kenneth A. and John R. Nofsinger. 2006. *Corporate Governance, Second Edition*. Prentice Hall. ENTIRE.
- b. "OECD Principles of Corporate Governance." 2004. Organization for Economic Co-Operation and Development, pp. 17-24.  
<http://www.oecd.org/dataoecd/32/18/31557724.pdf>
- c. Litvin, Daniel. 2003. "Memo to the President: A Strategy for Business and Human Rights." *Foreign Policy*. 139: 68-72. (JSTOR/ e-journals).
- d. Estrin, Saul. 2002. "Competition and Corporate Governance in Transition." *The Journal of Economic Perspectives*. 16:101-124. (JSTOR/ e-journals).

### 13. Ethics and Governance (Nov. 19)

- a. Definition of Ethics
  - i. <http://www.scu.edu/SCU/Centers/Ethics/practicing/decision/whatisethics.html>
- ✓ b. Can ethics be taught?
  - i. <http://www.scu.edu/SCU/Centers/Ethics/practicing/decision/canethicsbetaught.html>
- c. Collins, Susan D. 2004. "Moral Virtue and the Limits of the Political Community in Aristotle's 'Nicomachean Ethics.'" *American Journal of Political Science*. 48: 47-61. (JSTOR/ e-journals).
- d. Drucker, Peter. 2001. "Social Impacts and Social Problems," in *The Essential Drucker*, pp. 51-68 (e-reserves).
- e. "Beyond the Law." The Council of State Governments Special Report on Legislative Ethics. Winter 2007.

f. New Lobbying Reforms / Group Activity

At Loggerheads  
Helping the Billion  
Billion - Smart  
Millennium Challenge  
Account

online

on/in

Google

[http://www.csgwest.org/Publications/Web2007Publications/Ethics12\\_09%20final.pdf](http://www.csgwest.org/Publications/Web2007Publications/Ethics12_09%20final.pdf) **Complete the included ethics worksheet.** Ethics Small Group Activity.

#### 14. Individual and Group Action (Nov. 26)

- Thanksgiving*
- Paper Due: "Comparative Public Policy Analysis Paper."**
  - Olson, Mancur. 1971. "Group Size and Group Behavior," in *The Logic of Collective Action: Public Goods and the Theory of Groups*. Chapter Two, pp. 53-65. (e-reserves).
  - Chong, Dennis. 1991. "All-Or-Nothing Public Goods," in *Collective Action and the Civil Rights Movement*. Chapter Two, pp. 13-30. (e-reserves).
  - OK* Van der Heidjen, Hein-Anton. 2002. "Political Parties and NGOs in Global Environmental Politics." *International Political Science Review*. 23:187-201. (JSTOR/ e-journals).
  - + OK* "The EU Central Asia Strategy: An Essential Opportunity for Human Rights." April 12, 2007. Human Rights Watch. <http://hrw.org/backgrounder/eca/eu0407/>
  - 1-23* "Chapter One: Political Use of the Internet in China." *You've Got Dissent: Chinese Dissident Use of the Internet and Beijing's Counter-Strategies*, pp. 1-43. RAND Corporation. [http://www.rand.org/pubs/monograph\\_reports/MR1543/MR1543.ch1.pdf](http://www.rand.org/pubs/monograph_reports/MR1543/MR1543.ch1.pdf)

#### 15. New Formations of Governance (December 3)

- Ruggie, John G. "Reconstituting the Global Public Domain: Issues, Actors, and Practices," Kennedy School of Government, Working Paper RWP04-031, 2004, pp. 1-36. [http://ksghbbs.harvard.edu/m-rcbg/CSRI/publications/workingpaper\\_6\\_ruggie.pdf](http://ksghbbs.harvard.edu/m-rcbg/CSRI/publications/workingpaper_6_ruggie.pdf)
- O'Rourke, Dara. 2003. "Outsourcing Regulation: Analyzing Nongovernmental Systems of Labor Standards and Monitoring." *Policy Studies Journal*. 31: 1-29. Issue One. (e-journals/ NOT IN JSTOR).
- Conclusion and Review *Dec 10*
- In-Class Closed-Note Final Examination Date Monday, December 17, 7:30p-10:15p, AOB-269 (same room).** *105B*

**\*\*This syllabus is subject to change throughout the semester according to professor's prerogatives.**

**\*\*\* Statement on special needs of students as follows:**

If you are a student with a disability and you need academic accommodations, please see me and contact the Disability Resource Center (DRC) at 993-2474. All academic accommodations must be arranged through the DRC.

*Dec. 10 Take Home*

*C.O.B.*