

GEORGE MASON UNIVERSITY
School of Public Policy
DRAFT
Governance and Policy Processes

Michael K. Fauntroy, Ph.D.

Office Hours: Tuesdays, 6:00 p.m. to
7:15 p.m.; Thursdays, 6:00 p.m. to 7:15
p.m.; and by appointment

Office: 263 Arlington Original Building

Email: fauntroy@gmu.edu (preferred)

Telephone: 703.993.4987

Course Description

This course examines and assesses governance in public and private organizational settings on the basis of political and economic standards such as efficiency, accountability, and responsiveness to societal needs in a rapidly changing global environment.

The purpose of this course is to take a broad view of governance in a U.S. and comparative context, emphasizing how the mechanisms of governance are changing in the late 20th and early 21st centuries. The course begins with the U.S. model of governance. After considering the U.S. model of governance in comparative perspective, we will move to an analysis of important changes in the execution of public policy and their implication for the theory of governance (and democracy) from a public administration and political science perspective. Following that, we will consider the neoclassical economics market model in the context of the increasing portions of public policy that are carried out by private sector and non-profit organizations. Next, the course moves to the analysis of the comparative development of the modern nation state, particularly the growth of democratic states. The potential spread of democracy is taken up in the context of the nation state, the international system, and globalization. Case studies of how non-governmental groups and individuals can affect public policies are also examined.

Upon completion of this course, students will be familiar with contemporary issues of governance, understand the varieties and implications of intersector cooperation, be aware of the changing dynamics of national and sub-national governance, and be conversant with the international dimensions of governance.

Student Requirements

Students will be evaluated on the following:

- A written critical interpretation of assigned literature which will be called a RESPONSE PAPER—which will be discussed in detail in a later handout—(25% of your final grade)
- General participation: Oral presentation, assigned reading, unannounced quizzes, short writing assignments, and active participation in seminar discussions (25%).
- Final examination (50%).

Specific guidelines on the preparation of the response paper will be provided in a separate handout. Each student is expected to complete all of the assigned readings for each class session, and be prepared to summarize, offer critical assessments—or both—of the literature as well as the comments of fellow classmates.

For this course, **A** and **A-** grades are reserved for sustained outstanding performance in all aspects of the course. **B** and **B+** grades are assigned to those who demonstrate mastery of the course readings and above average performance in all aspects of the course. A grade of **B-** is earned by one who produces a marginal quality of work, which is not quite up to graduate level standards. The grade of **C** denotes unacceptable quality for graduate level work.

A few words on class participation: Class participation is critical to success in this course. This course will be conducted as a seminar; consequently, each week's assigned readings must be read before each class discussion. It is quite possible that a student who earned an "A" on both written assignments can end up with a final grade of "B+" or "B" if he or she does not regularly participate in class discussions. Class participation encompasses questions and comments that demonstrate knowledge of—though not necessarily agreement with—assigned course readings or other information that sheds light on a topic relevant to the course. Remember, professionals in public policy must be able to speak effectively in small groups and to make presentations of their work. The only way to learn these skills is to practice, so students are expected to contribute to discussions and will be required to present summaries of selected readings.

Required Texts

- Gabriel Almond, et. al., *Comparative Politics*, 4th edition, (New York: Longman, 2004)
- William Gormley, Jr. and Steven Balla, *Bureaucracy and Democracy: Accountability and Performance*, (CQ Press, 2004)
- John Kingdon, *America the Unusual*, (New York: St. Martin's Press, 1999)
- Robert O'Brien, et. al., *Contesting Global Governance*, (New York: Cambridge University Press, 2000)
- Elliott Sclar, *You Don't Always Get What You Pay For: The Economics of Privatization*, (Ithaca, NY: Cornell University Press, 2000)

There are also a number of assigned readings that may be accessed on-line, or in the library.

Policies

Mobile Phones: Please be courteous to your colleagues and instructor by turning off your mobile phone before entering the classroom.

Extra Credit: No extra credit assignments will be given in this course.

Late Submission of Research Papers: All papers should be submitted on time. Any paper submitted after the deadline will be penalized one full letter grade (no exceptions).

Course Outline and Assigned Reading

1. **Course Overview and Introduction**
2. **The Constitutional Structure of the United States (Separation of Powers and Federalism)**

Required Reading–

The Constitution of the United States

James Madison, *The Federalist No. 10 and No. 51*

Martin Diamond, “Democracy and *The Federalist*: A Reconsideration of the Framers Intent,” *American Political Science Review*, v. 53, No. 1 (March 1959), pp. 52-68.

John Kingdon, *America the Unusual*, Chapters 1 and 2, pp. 1-22.

Recommended Reading–

John P. Roache, “The Founding Fathers: A Reform Caucus in Action,” *American Political Science Review*, v. 55, No. 4 (December, 1961), pp. 799-816.

Ruth Ann Strickland, “The Twenty-Seventh Amendment and Constitutional Change By Stealth,” *PS: Political Science and Politics*, Vol. 26, No. 4.(Dec., 1993), pp. 716-722.

3. **American Exceptionalism**

Required Reading–

John Kingdon, *America the Unusual*, Chapters 3-5, pp. 23-101.

Michael Kamen, “The Problem of American Exceptionalism: A Reconsideration,” *American Quarterly*, v. 45, no. 1, pp. 1-43.

Recommended Reading–

Ian Tyrell, “American Exceptionalism in an Age of International History,” *American Historical Review*, v. 96, pp. 1031-1055.

Michael McGerr, “The Price of the ‘New Transnational History,’” *American Historical Review*, v. 98, pp. 1056-1067

4. The American Bureaucracy (Two Sessions)

Required Reading–

William Gormley and Steven Balla, *Bureaucracy and Democracy: Accountability And Performance*, Chapters 1-7, pp. 1-182.

Recommended Reading–

Robert Dahl, “The Science of Public Administration: Three Problems,” *Public Administration Review*, v. 7, pp. 1-11.

B. Dan Wood and Richard W. Waterman, “The Dynamics of Political Control of The Bureaucracy,” *American Political Science Review*, v. 85 (1991), pp. 801-828.

Lester M. Salamon, “Rethinking Public Management: Third-Party Government and The Changing Forms of Government Action,” *Public Policy*, v. 29 (1981), pp. 255-275.

Frances E. Rourke, “American Bureaucracy in a Changing Political Setting,” *Journal Of Public Administration Research and Theory*, v. 1, pp. 111-129.

5. Bureaucratic Reform through Privatization (Two Sessions)

Required Reading–

Elliott Sclar, *You Don't Always Get What You Pay For: The Economics of Privatization*, Chapters 1-7, pp. 1-168.

Recommended Reading–

Harvey Feigenbaum, and Jeffrey Henig, “Privatization and Political Theory,” *Journal Of International Affairs*, v. 50, no. 2, pp. 338-355.

Roger Teal, “Public Service Contracting: A Status Report,” *Transportation Quarterly*, v. 32, no. 2, pp. 207-222.

6. National Capital Area Governance: Guest Seminar

Required Reading–

Michael K. Fauntroy, *Home Rule or House Rule? Congress and the Erosion of Local Governance in the District of Columbia*, (Lanham, MD: University Press of America, 2003), chapter 4, pp. 101-128.

Visit Metropolitan Washington Council of Governments website (www.mwcog.org) to familiarize yourself with that organization and what it does. Also familiarize yourself with

research from the Urban Institute, the Brookings Institute, and the American Enterprise Institute. These organizations have done extensive research on local issues.

Recommended Reading–

Philip G. Schrag, “The Future of District of Columbia Home Rule,” *Catholic University Law Review*, v. 39, no. 2, Winter 1990, pp. 311-372.

Louis Michael Seidman, “The Preconditions for Home Rule,” *Catholic University Law Review*, v. 39, no. 2, Winter 1990, pp. 373-417.

7. Democracy, the Nation-State, Globalization, and International Organizations (Three Sessions)

Required Reading–

Robert O’Brien, et. al., *Contesting Global Governance*, Chapters 1-6, pp. 1-234.

Required Reading–

John Dryzek and Jeffrey Berejikian, “Reconstructive Democratic Theory,” *American Political Science Review*, v. 87, no. 1, pp. 48-60.

Jeffrey Williamson, “Globalization, Convergence, and History,” *The Journal of Economic History*, v. 36, no. 2, pp. 277-306.

Paul Krugman and Anthony Venables, “Globalization and the Inequality of Nations,” *Quarterly Journal of Economics*, v. 110, no. 4, pp. 857-880.

Robert C. Feenstra and Gordon H. Hanson, “Globalization, Outsourcing, and Wage Inequality,” *American Economic Review*, v. 86, no. 2, pp. 240-245.

8. Governing in the European Union: Guest Seminar

Required Reading–

Helen Wallace and William Wallace, eds., *Policy Making in the European Union*, 4th ed. R. Howse and K. Nicolaidis, eds., *The Federal Vision: Legitimacy and Levels of Governance in the U.S. and the EU*.

Recommended Reading–

Paul Sutton, “The Banana Regime of the European Union, the Caribbean, and Latin America,” *Journal of Interamerican Studies and World Affairs*, v. 3, no. , pp. 5-36.

Geoffrey Garrett, R. Daniel Kelemen, and Heiner Schulz, “The European Court of Justice, National Governments, and Legal Integration in the European Union,” *International Organizations*, v. 52, no. 1, pp. 149-176.

9. Comparative Government (Two Sessions)

Required Reading–

Almond, et. al., *Comparative Government*, Chapters 1-7, pp. 1-196.

Recommended Reading–

Writing Tips

Title Pages

Your paper should have one that includes at least the following information: paper title, your name, course name, course number, and the date. If you have a title page, there is no need to repeat the title on first page of text. Try to give your paper a relatively interesting title. "Short Paper" or "Term Paper" or "Interest Group Assignment" are dull. You can put your title in a font that is slightly larger than normal text but avoid extremely large fonts. In other words, 14-20 point fonts are fine, but 35 point fonts are too large.

Quotation Marks and Indenting Quotes

You should place quotation marks around any direct quotes. If the person you are quoting quotes another source, you should use the double marks for the outer quotation marks and the single marks for the inner quotation marks. Example: *Snob* magazine reported: "If you aren't vacationing in Martha's Vineyard or The Hamptons, then you aren't vacationing." If your quote is lengthy (four or more lines), you should indent the quote and use single-spaced text. You do not need to use quotation marks around indented quotes because it is clear from the context and the format.

Ellipses

You should always use ellipses when you remove words from a quotation. You should not use ellipses if your removal of words changes the meaning of the text. If your missing words are in the middle of sentence, you should replace them with three dots separated by spaces as well as preceded and followed by spaces (i.e. <space>.<space>.<space>.<space>). The spaces make the ellipses look better when typed. Example: "Many older residents find that retirement communities are more . . . peaceful if children do not live on the property."

If you omit the end of sentence before going on to the next sentence in your quotation, you should use four dots instead of three with no space between the first dot and the end of the first sentence and two spaces after the fourth dot (as in the two spaces after a period). The first dot is the period. Example: "The Democrats ran a mean-spirited campaign in 1998. . . Their radio commercials about church burnings implied that the Republicans are racists."

It's or Its?

The first is short for "it is" as in "It's sad to Republicans that a Democrat lives in the White House." The second is a pronoun as in "Florida suffered a terrible blow when its orange crop froze last January."

Brackets

When you excerpt a quote, you may want to substitute a few words of your own for the actual words for clarification purposes. For example, you might want to replace a pronoun with the actual person or group. You need to put the words that you insert in brackets. Example: [Tom Brokaw] recently wrote a book that lauds the World War II generation. Similarly, if your quote begins in the middle of the sentence, you may capitalize the first letter, but you should put it in brackets. Example: [T]he Iraqi government objected to sanctions.

Guide to Citations

I am a stickler for proper citations. Following are various types. You are free to choose a particular style, though I prefer bibliographic citations in footnotes or endnotes. Please be consistent: use the same style throughout your paper.

Parenthetical Citations

Instead of footnotes, you may choose to use parenthetical citations (though footnotes are also perfectly acceptable). All works cited in parentheses must have full citations in your bibliography at the end of the paper.

The Basic Form. The basic form is really very simple: (Author Year), as in (McGillicutty 1997). If you wish to refer to a specific page in the book, the form is (Author Year: Page). Example: (McGillicutty 1997: 27). If multiple pages need citation simply use dashes or commas as necessary, as in (McGillicutty 1997: 27-32, 64). If you are referring to the author in the text, you should simply put the date, and pages if necessary, in parentheses after the reference to the author's name. Example: According to McGillicutty (1997: 9), Judge Leon Higginbotham directly contradicted Thernstrom (1987) on the applicability of Section 5 of the Voting Rights Act to redistricting.

Multiple Sources. If you want to cite more than one work at the same time, use semi-colons to separate the cites. Example: (McGillicutty 1997; Holden 1987). If you have more than one work by the same author(s) in one year, you need to designate the work that appears first in your bibliography (the one with the title that begins with the letter that appears earlier in the alphabet) as "a" and the second as "b" and so on. The letter designations should appear in both the bibliography and in your parenthetical citations. Example: (McGillicutty 1997a).

Multiple Authors. You should list all authors for works with three or fewer authors. The order of their names should follow the order given by the authors. Example: (Fitch, Fox, and Brown 1992; Smalls and Shakur 1998). If there are more than three authors, give the author's first name and then "et al." Example: (Brown et al 1991).

No Author. Use the title in place of the author if there is no author. You should feel free to shorten it as long as it is clear and distinct. Example: (LDF Report 1994).

Bibliographic Citations

Books: Fanon, Frantz. *The Wretched of the Earth*. New York: Grove Press, Inc., 1963.

Articles in Scholarly Journals: Bullock III, Charles S. 1981. "Congressional Voting and the Mobilization of a Black Electorate in the South." *Journal of Politics* 43 (December): 662-82.

Magazine and Newspaper Articles: Kelly, Michael. "Segregation Anxiety." *New Yorker*, 20 November 1995, 43-54. Swain, Carol M. "Black-Majority Districts: A Bad Idea." *New York Times*, 3 June 1993, A21.

Supreme Court Cases: Allen v. State Board of Elections, 393 U.S. 544 (1969). The number before the "U.S." refers to the volume; the number after is the page number. The "U.S." refers to the Supreme Court Reporter. (District and Circuit Court decisions will have something else instead of U.S. between numbers, e.g. F. 2d or F. Supp.) Even if you found your case on the internet (e.g. on Findlaw or Lexis), you should still use this format as the cite will likely give you this citation format somewhere near the beginning of the case.

Internet Citations

There are lots of ways to cite Internet sources. I am not particular about which one you use as long as you follow certain rules:

Cite the exact URL or Internet site. Do not just cite the general home page. The point is to be able to quickly locate the exact page on which you found your information. Even though it is more lengthy and more complex, give the full cite of the page so that your reader can go directly to it. For example, if you want to cite the Christian Coalition position paper on gambling, you should cite the exact site, <http://www.cc.org/issues/gambling.html>, not the general Christian Coalition site, <http://www.cc.org/>. State the date you visited the page. "Visited 30 January 1999." or "Visited January 30, 1999." are both sufficient. Pages unfortunately change often, so it is nice to know when you visited the page. Give the title of the page as well as the Internet site. Simply giving the site or URL is not very informative. People don't speak Internet and you want your paper to be accessible to all. Many pages on the Internet are just replications of paper sources. If this is the case, you should cite it as you would the paper form. For example, if you use an article from the Washington Post, you should simply cite it as you would a normal newspaper article. Sample Bibliographic Form: "Christian Coalition Stand on Gambling." <http://www.cc.org/issues/gambling.html>. Visited 19 August 1999. Sample Parenthetical Citation: (Christian Coalition Stand on Gambling 1999) or <http://www.cc.org/issues/gambling.html> 1999). Personally, I prefer the former format as it is more informative.

STATEMENT ON PLAGIARISM

Plagiarism is the representation of another person's words and ideas as one's own. This misrepresentation is a breach of ethics that seriously compromises a person's reputation. Professional careers have been ruined by revelations of plagiarism.

Researchers, therefore, must scrupulously acknowledge sources to give proper credit for borrowed materials. The following rules should be observed to make sure that the distinction between one's own words and ideas and those of others is justly maintained. (Of course, submitting a paper that is completely the work of another person is plagiarism in its most extreme form.)

1. Words, phrases, and sentences of another person should be enclosed in quotation marks and footnoted in proper form.

2. Paraphrases and summaries of the ideas of others should be indicated with a footnote. These paraphrases and summaries should not represent merely the rearrangement of sentence elements but should be rewritten in one's own style.

3. Quotations, paraphrases, and summaries should be introduced with the name of the writer being cited.

4. Every item footnoted in the paper (i.e., all sources of others' words and ideas) should appear in the bibliography in proper form.

5. Footnotes should contain all the information required by standard footnote form and specifically indicate the location of the material cited. Page numbers should be checked for accuracy before a paper is submitted; the reader must be able to find the source of the material quoted, paraphrased, or summarized.

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 (eg. 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. (<http://www.gmu.edu/facstaff/handbook/aD.html>)