Autumn term, AY 2018/19, Tuesday 09:00-10:40

Lecturer responsible: Prof. Nick Sitter, School of Public Policy

**Public Management**

The course on focuses on public management, from the classical Weberian hierarchical system to recent modernisation programmes and the new governance. The first part of the course focuses on core concepts in public management, including public and private goods, market failures and policy failures, the tools of government, and debates about modernising public policy. The second part centres on Weber’s classical model of hierarchical public management and the critiques of this model. This includes analysis of the alternatives that became most prevalent as a range of governments sought to improve the economy, efficiency and effectiveness of public service provision: the New Public Management and New Governance. The third part of the course turns to the five most important sources of policy and management failures – inadequate preparation, poor incentive structures, veto players, implementation failure and compliance problems. The concluding session explores mechanisms for avoiding management failures, with a focus on crisis management.

###### Course structure

The course consists of 12 sessions

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| **Week 1**  Tuesday 17 Sept | Why public management? Public and Private goods; Market failures and policy failures |
| **Week 2**  Tuesday 25 Sept | The tools of government: Policy making and public management |
| **Week 3**  Tuesday 2 Oct | Modernisation 1: Weberian public administration |
| **Week 4**  Tuesday 9 Oct | Modernisation 2: New Public Management |
| **Week 5**  Tuesday 16 Oct | Modernisation 3: Public Governance and Paternalistic liberalism |
| **Week 6**  Tuesday 23 Oct | NATIONAL HOLIDAY/READING WEEK |
| **Week 7**  Tuesday 30 Oct | Policy & Management Failures 1: Causality and context  (Dunleavy’s law) |
| **Week 8**  Tuesday 6 Nov | Policy & Management Failures 2: Incentives and measurement (Goodhart’s law) |
| **Week 9**  Tuesday 13 Nov | Policy & Management Failures 3: Opposition and veto players  (Niskanens law) |
| **Week 10**  Tuesday 20 Nov | Policy & Management Failures 4: Frontline implementation  (Wildawsky’s law) |
| **Week 11**  Tuesday 27 Nov | Policy & Management Failures 5: Compliance problems  (Weaver’s law) |
| **Week 12**  Tuesday 4 Dec | Avoiding management failures: Leadership and Crisis Management |

**Learning outcomes**

Learning outcomes: The course is designed to provide students with specialized knowledge and skills pertaining to public policy, public management and public administration. The overreaching objective is that students master analysis of different models of public administration and the sources of policy failures. Students will explore the history of public management reform, from the first efforts to establish professional hierarchical bureaucracies to more recent reforms oriented toward efficient and effective delivery of public services. They will gain some experience in identifying policy problems, choosing appropriate analytical tools, and analyzing contemporary issues.

Upon successful completion of the course students should be in a position to engage critically with the research-based literature on public management, and work out well-reasoned positions on proposals for public policy reform. Strong student should be able to assess the economic, ethical, social and political dimensions of public policy proposals, and evaluate policy reforms using criteria such as efficiency, effectiveness, transparency, accountability, legality and legitimacy.

###### Seminar structure and grading

The course work accounts for 30% of the final grade. This includes consists in-class work such as participation and discussion in the seminars (20 percentage points) and a class presentation (10 percentage points).

1. In-class work includes participation and discussion in the seminars. This is on a pass/fail basis. Class presentations should be done individually or in groups. The in-class presentation should take no more than 12 minutes, and be supported by a one or two-page policy briefing note (max 600 words, all included).
2. The final take-home exam (max 3000 words, all included), written individually, will make up 70% of the final grade. Good answers will demonstrate a strong grasp of the literature and an ability to apply this to analyzing policy failures.

Class attendance is obligatory:

* Each 100-minute session counts as one class, missing it counts as one absence.
* Excused absences must be cleared in advance and/or supported by documentation (e.g. a medical note) e-mailed to the SPP coordinator.
* Each un-excused absence will result in a reduction of the final grade by one ‘step’, for example from a B+ to a B, then from a B to a B- etc.
* Unexcused absences require completion of a *missed class assignment* within one week: a 500-word review of the core reading for that class.
* The first two unexcused absences will not result in a grade reduction if an adequate *missed class assignment* is submitted by e-mail to the lecturer before the next class.

**Literature**

The course literature is divided into core reading (one article/chapter per session) and further reading. Both are listed in the weekly sessions, below.

* Students are expected to have read the **core reading** before each class.
* The **further reading** includes three articles/book chapters for each session. The articles are available in the library and/or on the e-learning platform.
* There is no single main textbook for the course. The following ten books are recommended, and can be found on the **reserved shelf** in the CEU library and/or as **e-books**.

1. C. Hood and H. Margetts, *The Tools of Government in the Digital Age*, Oxford University Press (hereafter OUP) 1998 [303.4/833/HOO]
2. C. Hood, *The Art of the State: Culture, Rhetoric and Public Management* OUP 2000 [351./001 HOL]
3. C. Pollitt and G. Bouckaert, *Public Management Reform*, Oxford University Press, 2011 [350 POL]
4. R. Baldwin, M. Cave and M. Lodge, *Understanding Regulation: Theory, Strategy and Practice*, OUP 2012 [338.9/41/BAL]
5. F. Fukuyama, *State Building*, Cornell University Press, 2004, [320.1 FUK]
6. A. Salamon, *The Tools of Government*, OUP 2002, [303.4/833 HOO]
7. B. Guy Peters, *The Politics of Bureaucracy*, Routledge 2010, [351.001/PET]
8. E. Ferlie, L. Flynn and C. Pollitt, *The Oxford Handbook of Public Management,* OUP 2005, [351 FER]
9. T. Christensen and P. Lægreid, *The Ashgate Companion to New Public Management*, Ashgate 2011 [351 CHR]
10. K. A. Eliassen & N. Sitter, *Understanding Public Management: The Liberalisation and Modernisation of Public Services*, Sage 2008, chapters 1-4 [320.5/109/4 ELI]

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| **Week 1**  Tuesday 17 Sept | Why public management? Public and Private goods; Market failures and policy failures |

**LECTURE**

**Core reading**

K. A. Eliassen & N. Sitter, *Understanding Public Management: The Liberalisation and Modernisation of Public Services*, Sage 2008, chapters 1-4 [320.5/109/4 ELI; e-book]

**Further reading**

1. O. E. Hughes, *Public Management and Administration*, Palgrave, 2003, chapter 4 on the role of government [350 HUG and 351 HUG for the 2012 edition]
2. T. Besley, *Principled Agents*, OUP 2006, esp. chapter 2 on the anatomy of government failure, [352.3 BES; e-book]
3. J. Boston, “Basic NPM Ideas and their Development” in T. Christensen and P. Lægreid, *The Ashgate Companion to New Public Management*, Ashgate 2011 [351 CHR]

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| **Week 2**  Tuesday 25 Sept | 11:00-12:40: The tools of government: Policy making and public management |

**LECTURE**

**Core reading**

K. A. Eliassen & N. Sitter, *Understanding Public Management: The Liberalisation and Modernisation of Public Services*, Sage 2008, chapters 5, 7, 9 [320.5/109/4 ELI; e-book]

**Further reading**

1. F. Fukuyama, *State Building*, Cornell University Press, 2004, chapter 1 on the dimensions of stateness [320.1 FUK]
2. C. Hood, “Public Management: Seven Propositions”, in *The Art of the State: Culture, Rhetoric and Public Management,* OUP 2000, 3-22 [351./001 HOL; e-book]
3. A. Salamon, *The Tools of Government*, OUP 2002, chapter 1 on tools of public action, [303.4/833 HOO]
4. K. J. Meier, “Get Your Tongue out of My Mouth ‘Cause I’m Kissin’ You Goodbye: The Politics of Ideas”, *Policy Studies Journal*, 2004, 23:1, 225-233

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| **Week 3**  Tuesday 2 Oct | Modernisation 1: Weberian public administration |

**Class Presentation \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Core reading**

M. Weber, “Rational-legal authority and bureaucracy”, in M. Hill (ed) The Policy Process, Harvester Wheatsheaf 1993 [320.6 HIL; e-learning]

**Further reading**

1. A. Downs, *Inside Bureaucracy*, Little, Brown & Co. 1967, ch 11 on control problems [302.3/5 DOW; e-learning]
2. P. Dunleavy, *Democracy, Bureaucracy and Public Choice*, Harvester Wheatsheaf, 1991, chapter 6 [338.9 DUN; e-learning]

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| **Week 4**  Tuesday 9 Oct | 15:30-17:10 Modernisation 2: New Public Management |

**Class Presentation \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Core reading**

P. Dunleavy & C. Hood, “From Old Public Administration to New Public Management”, *Public Money and Management*, July-September (1994) 9-16. [e-learning]

**Further reading**

1. P. Aucoin, “Administrative Reform in Public Management: Paradigms, Principles, Paradoxes and Pendulums”, *Governance* 3:2 (1990) 115-137.
2. E. Ferlie, “Quasi-Strategy: Strategic Management in Contemporary Public Sector”, in A. Pettigrew, *Handbook of Strategic Management*, Sage 2002, 279-299 [e-learning]

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| **Week 5**  Tuesday 16 Oct | 15:30-17:10: Modernisation 3: Public Governance and Paternalistic liberalism |

**Class Presentation \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Core reading**

G. Stoker, “Governance as Theory: Five Propositions”, *International Social Science Journal*, 155 (1998) 17-28 [e-learning]

**Further reading**

1. R. A. W. Rhodes, “The New Governance: Governing without Government”, *Political Studies*, 44 (1996) 652-667
2. R. H. Thaler and C. R. Sunstein, “Behavioural Economics, Public Policy and Liberal Paternalism”, *The American Economic Review*, 93:2 (2003) 175-179 [e-learning]

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| **Week 6**  Tuesday 23 Oct | NATIONAL HOLIDAY/READING WEEK |

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| **Week 7**  Thursday 2 Nov | 11:00-12:40: Policy Failures 1: Causality and context  (Dunleavy’s law) |

**Class Presentation \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Core reading**

P. Dunleavy, “Policy Disasters: Explaining the UK’s Record”, *Public Policy and Administration*, 10:2 (1995)

**Further reading**

1. P. A. Sabatier, “Top-Down and Bottom-Up Approaches to Implementation Research." *Journal of Public Policy* 6:1 (1998)
2. L. Lewin, “Man, society, and the failure of politics”, *Critical Review: A Journal of Politics and Society*, 12:1 (1998), 1-12

**Case study (the Poll Tax**

A. King and I. Crewe, *The Blunders of Our Governments*, chapter 4 on ‘A tax on our heads’, Oneworld 2013 [ 941.085/KIN, e-learning]

* **Was the poll tax mainly a policy failure of a management failure?**
* **Did the UK Government design the poll tax based on a faulty understating of causality (what causes people to act in a certain way)?**
* **Did the poll tax make ‘heroic’ assumptions about public management and the (low) costs of implementation?**

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| **Week 8**  Monday 6 Nov | 15:30-17:10 Policy Failures 2: Incentives and measurement (Goodhart’s law) |

**Class Presentation \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Core reading**

G. R. Steele, What is Goodhart’s Law?

<http://www.lancaster.ac.uk/staff/ecagrs/What%20is%20Goodhart%27s%20Law.pdf>

**Further reading**

1. J. LeGrand, *Motivation, Agency and Public Policy*, OUP 2003, chapter 4 [361.6/109/41 LEG, e-book]
2. C. Hood, “A Public Management for All Seasons?”, *Public Administration*, 69 (1991)

**Case study (the Windrush scandal)**

*The Guardian’s* reporting on the Windrush scandal, <https://www.theguardian.com/uk-news/windrush-scandal> (esp. <https://www.theguardian.com/uk-news/2018/jun/28/wrongful-detention-cost-21m-as-immigration-staff-chased-bonuses>)

* **Was the Windrush mainly a policy failure of a management failure? (What role did performance related bonuses play?)**
* **How did targets for deportations affect policy implementation?**
* **Id this was a management failure, why did Amber Rudd have to resign?**

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| **Week 9**  Tuesday 13 Nov | 11:00-12:40: Policy Failures 3: Opposition and veto players  (Niskanens law) |

**Class Presentation \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Core reading**

W. Niskanen, *Bureaucracy: Servant of Master?* London: IEA 1973, chapter 2 on an economic model of bureaucracy [354./41 NIS; e-learning]

**Further reading**

1. C. Hood, “The Risk Game and the Blame Game” *Government and Opposition* 37:1 (2002) 15-37.
2. C. Pollitt and G. Bouckaert, *Public Management Reform*, OUP 2011 [350 POL; e-learning], chapter 7.

**Case study (In Amenas)\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

*The In Amenas Attack*, Statoil investigation report, 88 pages, available at <https://www.statoil.com/content/dam/statoil/documents/In%20Amenas%20report.pdf>

* **Was the In Amenas disaster a failure? For whom?**
* **Did Statoil and BP make faulty assumptions about the interests of the Algerian government and/or army?**
* **What were the main weaknesses in Statoil and BP’s risk management?**

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| **Week 10**  Tuesday 20 Nov | 15:30-17:10: Policy Failures 4: Frontline implementation  (Wildawsky’s law) |

**Class Presentation \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Core reading**

J. Pressman and A. W. Wildavsky, *Implementation: How Great Expectations in Washington are Dashed in Oakland,* University of California Press, 1984, chapters 1 and 5 [353./0084 PRE; e-learning]

**Further reading**

1. Relevant Policy Analysis text: M. Hill & H. Hupe, *Implementing Public Policy*, Sage 2002, chapter 3 [320.6 HIL]
2. C. Pollitt, “Is the Emperor in his Underwear? An Analysis of Public Management Reform”, *Public Management*, 2:2 (2000)

**Case study (EU refugee/migration crisis)\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_**

*Euractiv’s* reporting on the migration crisis, <https://www.euractiv.com/topics/migrant-crisis/> and <https://www.euractiv.com/topics/dublin-regulation/>

* **In what way has the EU’s management of the refugee crisis since 2015 been a failure? For whom?**
* **What were the main problems of frontline implementation?**
* **Did EU decision makers make faulty assumptions about states’ management capacities, or capacities for coordinated responses in a crisis?**

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| **Week 11**  Tuesday 27 Nov | 11:00-12:40: Policy Failures 5: Compliance problems  (Weaver’s law) |

**Class Presentation \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Core reading**

NB: relevant Policy Analysis text: R. K. Weaver, “Target Compliance: The Final Frontier of Policy Implementation”, *Issues in Governance Studies*, 27 (2009) 1-11

**Further reading**

1. Y. Feldman “Five Models of Regulatory Compliance Motivation: Empirical Findings and Normative Implications.”, in Levi-Faur D (ed.) *Handbook on the Politics of Regulation*, Edward Elgar, 2011 [320.6 LEV; e-learning]
2. E. Vedung, “Evaluation Research”, in B. G. Peters & J. Pierre (eds) *Handbook of Public Policy*, Sage 2006

**Case study (Poland, the EU, and the Rule of Law)\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

*Politico’s* rule of law crisis reporting, <https://www.politico.eu/tag/rule-of-law/> (e.g. <https://www.politico.eu/article/warsaw-defiant-as-brussels-opens-new-front-in-battle-over-rule-of-law-mateusz-morawiecki-frans-timmermans/> )

* **In what way has rule of law backsliding been a failure? For whom?**
* **Did the Commission make faulty assumptions about compliance when it designed the Rule of Law Framework?**
* **By what criteria can the Commission’s approach to democratic backsliding be considered a success or failure?**

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| **Week 12**  Tuesday 4 Dec | 15:30-17:10: Leadership and Crisis Management |

**Class Presentation \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Core reading**

A. Boin et al. *The Politics of Crisis Management: Public Leadership under Pressure,* Cambridge University Press, 2005, chapter 7 [327./1/6 BOI; e-learning]

**Further reading**

1. R. Baldwin, M. Cave and M. Lodge, *Understanding Regulation: Theory, Strategy and Practice*, OUP 2012, chapter 6 on regulating risk [338.9/41/BAL]
2. US Department of Homeland Security, *Risk Management Fundamentals*, 2011, <https://www.dhs.gov/xlibrary/assets/rma-risk-management-fundamentals.pdf>

**Case study (Brexit)\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

A. Geddes, “Britain beyond the European Union”, in Heffernan et al, *Developments in British Politics*, Palgrave 2016 [320.9/14/HEF; e-learning]

See also reports on by *UK in a Changing Europe*, <http://ukandeu.ac.uk/>

* **In what way is Brexit a failure? For whom?**
* **What were the main strengths and weaknesses in David Cameron’s strategy promising and implementing a referendum on Brexit?**
* **What are the main strengths and weaknesses in Theresa May’s strategy for managing the Brexit negotiations with the EU?**