

**American University  
School of Public Affairs  
Department of Public Administration and Policy**

**PUAD 609-001  
State and Local Management  
Fall 2013  
Ward 104; 5:30-8PM**

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**Overview and description of the course:**

This class is designed to acquaint students with the major features and theories of state and local administration, with an emphasis on the intergovernmental context in which these governments function (federalism, IGR, state-local relations, etc). The course will rely on political, legal and fiscal perspectives to illustrate current management issues and the context of management in a multi-governmental system. These perspectives will be used to explore management issues in federal, state, municipal, county, and other forms of sub-federal governments. We will incorporate applied policy cases – such as education, health and welfare, economic development, security, immigration, environmental, and others. Current issues including the controversial Affordable Care Act and No Child Left Behind policies, voting rights, marriage laws, homeland security, government contracting, and others will also be integrated into class work.

**Course learning objectives and expected outcomes:**

The objective of this course is to prepare you to work in a multi-governmental and multi-sectoral system, whether your profession takes you to the public or private sectors. Accordingly, the following items comprise our course expectations and learning outcomes for each student:

1. Demonstrated ability to describe the complex multi-governmental and multi-sectoral system of governance in the U.S., and to understand the basic components of similar systems across the globe.
2. Demonstrated ability to critically examine management and policy issues in a multi-governmental and multi-sectoral system.
3. Demonstrated ability to analyze and craft solutions to specific management and policy problems in a multi-governmental and multi-sectoral system.

4. Demonstrated ability to brief superiors and colleagues on the implications of a multi-governmental and multi-sectoral system for specific management and policy problems.
5. Demonstrated ability to incorporate political, legal, fiscal, and managerial frameworks for items 1 through 4.

**Texts:**

The required text for PUAD 609 is:

***Local Government and the States: Autonomy, Politics, and Policy*** by David R. Berman.  
(Armonk, NY: ME Sharpe.) 2003.

Note: This text will serve as a primer. Most course readings will consist of refereed journal articles that provide greater depth for our topics. All are available on our course Blackboard site.

Additional information can be found in the following books:

Bowman, Anne O'M. and Richard C. Kearney. *State and Local Government*. Boston: Houghton Mifflin.

Gray, Virginia and Russell L. Hanson, eds. *Politics in the American States*. Washington, DC: Congressional Quarterly Press.

Hanson, Russell L., ed. *Governing Partners: State-Local Relations in the United States*. Westview Press.

Ross, Bernard H. and Myron A. Levine. *Urban Politics: Power in Metropolitan America*. 7<sup>th</sup> Edition. Thompson/Wadsworth.

Smith, Kevin B., Alan Greenblatt and John Buntin. *Governing States and Localities*. Congressional Quarterly Press.

Watson, Douglas J. and Wendy L. Hassett. *Local Government Management: Current Issues and Best Practices*. M.E. Sharpe.

**Communication:**

I prefer to be contacted through my e-mail account whenever possible.

### Course requirements:

1. Two take-home **examinations**. Details TBA. See due dates in class schedule below.
2. A 10-12 page (double-spaced) **research paper**. The paper should address and analyze a state/local management issue or problem, and can include a policy-focused topic. The paper can focus on one level of government, or can address federalism (federal-state relations), state-local issues, inter-local issues, or any other intergovernmental topic. It should include an analysis of managerial, political, legal, and fiscal factors relevant to the topic. Paper is **due no later** than date specified on class schedule. A **paper proposal** will be required (a one page summary/outline of your topic), and is **due no later** than date specified on class schedule. I will review your proposal and return it to you as soon as possible. Please note that your paper bibliography must include **at least three refereed journal articles** from outside required class readings. Exceptions may be made for topics that are very new/current, which have not yet generated refereed research. Details TBA. I will post a “model” paper, with a standard bibliography form, on blackboard early in the semester. In general, the bibliography should follow the form used at the end of this syllabus. **Be prepared to lose grade points if you do not use at least three refereed journal articles from outside required class readings. Exceptions will be made only for those with an explicit approval from me.**
3. A **presentation**, to be made on one of the class dates specified on the class schedule. The presentation (length to be determined in part by the number of students in the class) should summarize the analysis and conclusions of your research paper. PowerPoint presentations are expected. You will have a time limit (probably under 15 minutes). Detailed instructions will be provided later in the semester.
4. **Class participation**, discussed in the following section.

### Class participation:

This course will include some lecture, but with your participation, we will follow a seminar format as much as possible. Consequently, class participation is essential. *You are expected to read and be prepared to discuss in class all materials assigned. Your knowledge and analysis of the material will be noted and included in your class participation grade. I will call on students at random with questions from the reading or, more commonly, I will ask **you** to generate questions from the readings. So – be prepared!*

## Grading:

Grades will be determined as follows:

-Examinations	20% (each)
-Paper	35%
-Paper presentation	15%
-Class participation	10%

The style, composition, organization, **and** analytic content of your written assignments will be considered during the grading process. In addition, your grade will include an assessment of your class participation. In other words, all students are expected to demonstrate in class that they are familiar with the assigned material.

Note: Submission instructions will be provided for all assignments. Most will be submitted in three forms, including hard copy. **PLEASE be sure to number the pages** of your assignments, and **do not put your hard copy assignments in plastic covers or other binders** – just staple the pages together. Please print as double-sided docs whenever possible. **I RESERVE THE RIGHT TO DEDUCT AT LEAST ONE HALF GRADE FOR FAILURE TO COMPLY WITH THIS INSTRUCTION.**

The information below describes general evaluation criteria and grade assignments. But be forewarned – grading is an art, not a science. Many factors enter a final assignment grade, including some of the items mentioned above.

All of our assignments are designed to assess your mastery of the course expectations and learning outcomes described above. Be familiar with those outcomes so that you can get the most out of each assignment.

In general, grades are assigned on the basis of the following criteria:

- **A+. Superior** performance in terms of expected course outcomes in the context of the assignment. A grade of A+ is reserved for those assignments that demonstrate superiority **on all components** (analysis, organization, writing quality and style, etc.)
- **A. Excellent** performance in terms of expected course outcomes in the context of the assignment. A grade of A is reserved for those assignments that demonstrate excellence **on all components** (analysis, organization, writing quality and style, etc.).
- **A-. Excellent** performance in terms of expected course outcomes in the context of the assignment. A grade of A- is reserved for those assignments that demonstrate excellence **on most components** (analysis, organization, writing quality and style, etc.).
- **B+. Very good** performance in terms of expected course outcomes in the context of the assignment. A grade of B+ is reserved for those assignments that

demonstrate very good mastery on **most components** (analysis, organization, writing quality and style, etc.).

- **B. Good** performance in terms of expected course outcomes in the context of the assignment. A grade of B is reserved for those assignments that demonstrate good mastery on **most components** (analysis, organization, writing quality and style, etc.).
- **B-. Fair** performance in terms of expected outcomes in the context of the assignment. A grade of B- is reserved for those assignments that demonstrate fair mastery on **most components** (analysis, organization, writing quality and style, etc.).
- **C+ or below.** In general, a grade of C+ or below is reserved for assignments that are not satisfactory. Such grades indicate that the student is not achieving the expected learning outcomes. If you receive a grade of C+ or lower, please make an appointment to meet with me.

### **Turnitin:**

This course will be using Turnitin.com - an online text-matching program. Although Turnitin has been characterized as a “plagiarism-prevention” program, we will use it in this class to help educate you about the writing process and to foster integrity.

Instructions are forthcoming, and some have been posted on Blackboard.

### **Guest speakers:**

I may solicit one or two guest speakers to discuss specific topics of interest during the semester. I will notify you as far in advance as possible about any such speakers.

### **Reading and writing standards:**

You are expected to complete the American University Library’s Information Literacy Tutorial, <http://www.library.american.edu/tutorial/index.html>, if you have not already done so in your academic career. It is an excellent introduction to researching and writing. Throughout this and every other course careful attention should be given to writing style, source citations, and proper listing of references, and the library’s tutorial is very helpful. For questions, please refer to the library website on citations, [http://www.library.american.edu/e\\_ref/citation.html](http://www.library.american.edu/e_ref/citation.html) or a college writing text such as Hacker, *A Writer’s Reference*, [www.bedfordstmartins.com/hacker/writersref](http://www.bedfordstmartins.com/hacker/writersref). In addition, Davis, *The Rowman and Littlefield Guide to Writing with Sources* (2<sup>nd</sup> ed., 2004) is an extremely useful text. If you are more comfortable with a style manual not mentioned here, please contact me so that we can determine the best reference for you to use. The key point is appropriateness and consistency. In addition, you should evaluate websites carefully for academic quality and reputation. For

guidance on website evaluation, please contact a site such as <http://www.library.cornell.edu/okuref/research/webeval.html>. I would also be happy to answer any questions you have on this topic.

### **Academic Integrity Code:**

Standards of academic conduct are set forth in the University's Academic Integrity Code, <http://www.american.edu/academics/integrity/code01.htm>. All examinations, tests, written papers, and other assignments are required to be completed according to the standards set forth in this code.

**All work must be entirely your own. When you quote from others' work, you must give full credit by footnote or endnote. Failure to use quotation marks when quoting, failure to give full credit when paraphrasing, use of others' ideas or work products, submission of work prepared through impermissible collaboration, and also submission of work prepared by you for another class are all examples of violations of the academic integrity code and will result in sanctions.**

By registering in this class, you have acknowledged your awareness of the Academic Integrity Code, and you are obliged to become familiar with your rights and responsibilities as defined by the Code. Violations of the Academic Integrity Code will not be treated lightly, and disciplinary action will be taken should such violations occur. Please see me if you have any questions about the academic violations described in the Code in general or as they relate to particular requirements for this course. Failure to comply with the requirements of the Academic Integrity Code can result in failure in the course, as well as more serious academic sanctions.

### **Academic support:**

If you experience difficulty in this course for any reason, please do not hesitate to consult me. In addition to the resources of the department, a wide range of services is available at the university to support you in your efforts to be successful in this course.

**Academic Support Center** (202-885-3360, MGC 243, [asc@american.edu](mailto:asc@american.edu), [www.American.edu/ocl/asc](http://www.American.edu/ocl/asc)) offers study skills materials and workshops, individual academic assistance, tutor referrals, and services for students with learning disabilities and ADHD. Writing support is available in the Academic Support Center (ASC) Writing Lab or in the Writing Center, Battelle-Tompkins 228, 885-2991.

**Counseling Center** (202-885-3500, MGC 214, [www.american.edu/ocl/counseling](http://www.american.edu/ocl/counseling)) offers counseling and consultations regarding personal concerns, self-help information, and connections to off-campus mental health resources.

**Disability Support Services** (202-885-4415, MGC 206, [dss@american.edu](mailto:dss@american.edu), [www.american.edu/ocl/dss](http://www.american.edu/ocl/dss)) offers technical and practical support and assistance with accommodations for students with physical, medical, or psychological disabilities.

If you have a disability and might require accommodations in this course, please notify me via Disability Support Services (DSS) or the Academic Support Center (ASC) early in the semester so that I can make arrangements to address your needs.

**Emergency Preparedness:**

In the event of a declared pandemic (influenza or other communicable disease), American University will implement a plan for meeting the needs of all members of the university community. Should the university be required to close for a period of time, we are committed to ensuring that all aspects of our educational programs will be delivered to our students. These may include altering and extending the duration of the traditional term schedule to complete essential instruction in the traditional format and/or use of distance instructional methods. Specific strategies will vary from class to class, depending on the format of the course and the timing of the emergency. Faculty will communicate class-specific information to students via AU e-mail and Blackboard, while students must inform their faculty immediately of any absence due to illness. Students are responsible for checking their AU e-mail regularly and keeping themselves informed of emergencies. In the event of a declared pandemic or other emergency, students should refer to the AU Web site ([american.edu/emergency](http://american.edu/emergency)) and the AU information line at (202) 885-1100 for general university-wide information, as well as contact their faculty and/or respective dean's office for course and school/college-specific information.

## **CLASS AND TOPIC SCHEDULE:**

(This schedule is for planning purposes, and is tentative. Adjustments to dates and readings may be necessary. I will notify you as soon as possible of any changes.)

1.     **Aug 27**         -         **Introduction and Course Overview**
  
2.     **Sept 3**         -         **The Management Context:  
State and Local Government: A Primer**  
  
Readings:         Berman, Chapters 1-3, 8  
Bowling and Wright 1998  
Brudney and Wright 2010  
Thompson  
Stillman  
Frederickson, Logan and Wood
  
3.     **Sept 10**         -         **The Management Context:  
Structure and Politics: Federalism and  
Intergovernmental Relations**  
  
Readings:         Berman, Chapter 4 and pp.77-88  
Hanson  
Schneider et. al.  
Weissert et. al.  
Posner  
Grossback
  
4.     **Sept 17**         -         **The Management Context:  
Legal Perspectives**  
  
Readings:         Berman, pp. 70-77 and Chapter 7  
Christensen and Wise  
Wise and O'Leary 2003  
Wise 2001

5. **Sept 24** - **The Management Context:  
Fiscal Perspectives**

Readings: Berman, Chapter 6  
Rivlin  
Tannenwald 2002  
Witko and Newmark  
Tannenwald 2001  
Hall 2010  
Mullins and Wallin  
Sokolow 2000

6. **Oct 1** - **The Management Context:  
“New” Public Management, the Performance Movement, and  
other Management Strategies**

Readings: Nigro and Kellough  
Thurmaier and Wood  
Leland and Thurmaier  
McCabe  
Bourdeaux  
Melkers and Willoughby

**Oct 8<sup>th</sup> – NO CLASS \*\*\*\*\***

7. **Oct 15** - **Management and Policy:  
Social Welfare**

**\*\*\*\*Exam #1 Due \*\*\*\***

Readings: Ladd and Doolittle  
Plotnick and Winters  
Barrilleaux and Miller  
Gray et. Al.  
Kickham and Ford  
TBA

8. **Oct 22** - **Management and Policy:  
Education  
Environment**

**\*\*\*\*\*Paper Proposal Due\*\*\*\*\***

Readings: Imazecki and Reschovsky  
Zimmer and Buddin  
Wong  
Konisky  
Sokolow  
Scheberle  
Sigman

9. **Oct 29** - **Management and Policy:  
Economic Development  
Transportation**

Readings: McDowell and Edner  
Edner and McDowell  
Swope May 2005  
Swope Oct 2005  
Albalate and Bel  
Brunori  
Wasylenko

10. **Nov 5** - **Management and Policy:  
Security  
Immigration  
Other?**

Readings: Caruson et al  
Eisenger  
Roberts  
Landy  
Derthick  
Newton and Adams  
TBA

11. **Nov 12** - **Wrap Up**

Readings: Berman, Chapter 9  
Rivlin - review

**\*\*\*\*\*Exam #2 Due \*\*\*\*\***

12. **Nov 19** - **Presentations**

**\*\*\*\*\*Paper Due!!!\*\*\*\*\***

13. **Dec 3** - **Presentations**

### **Assigned Readings:**

#### **The Management Context: State and Local Government: A Primer**

- Bowling, Cynthia J. and Deil S. Wright (1998), "Public administration in the fifty states: A half-century administrative revolution," *State and Local Government Review*, 30, 1, Winter: 52-64.
- Brudney, Jeffrey L. and Deil S. Wright (2010), "The "Revolt in Dullsville" Revisited: Lessons for Theory, Practice, and Research from the American State Administrators Project, 1964–2008," *Public Administration Review*, Jan/Feb: 26-37.
- Thompson, Frank J. (2008), "State and Local Governance Fifteen Years Later: Enduring and New Challenges," *Public Administration Review*, December.
- Stillman, Richard II (2003), "The City Manager: Professional Helping Hand or Political Hired Hand?" in Douglas J. Watson and Wendy L. Hassett eds., *Local Government Management: Current Issues and Best Practices*. M.E. Sharpe.
- Frederickson, H. George, Brett Logan and Curtis Wood (2003), "Municipal reform in mayor-council cities: A well-kept secret," *State and Local Government Review*, 35, 1, Winter: 7-14.

#### **The Management Context: Structure and Politics: Federalism and Intergovernmental Relations**

- Hanson, Russell (2003), "Intergovernmental Relations," in Virginia Gray and Russell L. Hanson, eds., *Politics in the American States: A Comparative Analysis*, 8th edition. Washington: CQ Press.
- Schneider, Sandra K., William G. Jacoby and Daniel C. Lewis (2011), "Public Opinion Toward Intergovernmental Policy Responsibilities," *Publius*, 41(1): 1-30.
- Weissert, Carol, Carl Stenberg and Richard Cole (2010), "Continuity and Change: A Ranking of Key Issues Affecting U.S. Intergovernmental Relations (1995–2005)," *Publius*, 39, 4: 677-695.
- Posner, Paul L. (1997), "Unfunded Mandates Reform Act: 1996 and Beyond," *Publius*, 27, 2, Spring: 53-72.
- Grossback, Lawrence J. (2002), "The problem of state-imposed mandates: Lessons from Minnesota's local governments," *State and Local Government Review*, 34,3, Fall: 183-97.

#### **The Management Context: Legal Perspectives**

- Christensen, Robert K. and Charles R. Wise (2009), "Dead or alive? The federalism revolution and its meaning for Public Administration," *Public Administration Review*, Sep/Oct.
- Wise, Charles and Rosemary O'Leary (2003), "Breaking up is hard to do: The dissolution of judicial supervision of public services," *Public Administration Review*, 63, 2, Mar/Apr: 177.
- Wise, Charles (2001), "The Supreme Court's new constitutional federalism: Implications for public administration," *Public Administration Review*, 61, 3, May/June: 343-58.

### **The Management Context: Fiscal Perspectives**

- Rivlin, Alice M. (1992), "A new vision of American federalism," *Public Administration Review*, 52, 4, July/August: 315-20.
- Tannenwald, Robert (2002), "Interstate Fiscal Disparity in 1997," *New England Economic Review*, third quarter: 17-33.
- Tannenwald, Robert (2001), "Are state and local revenue systems becoming obsolete?" *New England Economic Review*, Issue 4.
- Hall, Jeremy L. (2010), "Giving and Taking Away: Exploring Federal Grants' Differential Burden on Metropolitan and Nonmetropolitan Regions," *Publius*, 40(2): 257-274.
- Witko and Newmark (2009), "The strange disappearance of investment in human and physical capital in the United States," *Journal of Public Administration Research and Theory*, February.
- Mullins, Daniel R. and Bruce A. Wallin (2004), "Tax and expenditure limitations: Introduction and overview," *Public Budgeting and Finance*, Winter, 24,4: 2-15.
- Sokolow, Alvin D. (2000), "The changing property tax in the West: State centralization of local finances," *Public Budgeting and Finance*, Spring: 85-104.

### **The Management Context: "New" Public Management and other Management Strategies**

- Thurmaier, Kurt and Curtis Wood (2002), "Interlocal agreements as overlapping social networks: Picket-fence regionalism in metropolitan Kansas City," *Public Administration Review*, September/October, 62, 5: 585-98.
- Leland, Suzanne and Kurt Thurmaier (2005), "When efficiency is unbelievable: Normative lessons from 30 years of city-county consolidations," *Public Administration Review*, 65, 4, Jul/Aug: 475.
- McCabe, Barbara Coyle (2000), "Special –district formation among the states," *State and Local Government Review*, 32,2, Spring: 121-31.
- Bourdeaux, Carolyn (2007), "Reexamining the Claim of Public Authority Efficacy," *Administration and Society*, Volume 39 Number 1, March: 77-106.
- Melkers, Julia and Katherine Willoughby (2005), "Models of performance-measurement use in local governments: Understanding budgeting, communication, and lasting effects," *Public Administration Review*, 65, 2, Mar/Apr: 180.
- Nigro, Lloyd and Edward Kellough, "Personnel reform in the states: A look at progress fifteen years after the Winter Commission," *Public Administration Review*, December.

### **Management and Policy: Social Welfare**

- Ladd, Helen F., and Fred C. Doolittle (1982), "Which level of government should assist the poor?" *National Tax Journal*, September, 35: 323-336.

Plotnick, Robert and Richard Winters (1985), "A politico-economic theory of income redistribution," *American Political Science Review*, 79, June: 458-73.

Barrilleaux, Charles and Mark E. Miller (1988), "The political economy of state Medicaid policy," *American Political Science Review*," 84: 1089-1107.

Gray, Virginia, and David Lowery, James Monogan, and Erik K. Godwin (2010), "Incrementing Toward Nowhere: Universal Health Care Coverage in the States," *Publius* 40(1): 82-113.

Kickham, Kenneth, and David A. Ford (2009), "Are State Marriage Initiatives Having an Effect? An Initial Exploration of the Impact on Divorce and Childhood Poverty Rates?" *Public Administration Review*, 69, 5, Sept/Oct: 846-54.

### **Management and Policy: Education; Environment**

Imazeki, Jennifer and Andrew Reschovsky (2004), "Is *No Child Left Behind* an Un (or Under) funded Federal Mandate? Evidence from Texas," *National Tax Journal*, 57, 3, September: 571-88.

Zimmer, Ron and Richard Buddin (2009), "Is Charter School Competition in California Improving the Performance of Traditional Public Schools?" *Public Administration Review*, Volume 69, Issue 5, September/October: 831-845.

Wong, Kenneth (2008), "Federalism revised: The promise and challenge of the No Child Left Behind Act," *Public Administration Review*, December.

Konisky (2011), "Public Preferences for Environmental Policy Responsibility," *Publius* (2011) 41(1): 76-100.

Sokolow (2011), "Federal policy for preserving farmland: The farm and ranch lands protection program," *Publius*, 40(2): 235-56.

Scheberle, Denise (2005), "The evolving matrix of environmental federalism and intergovernmental relationships," *Publius*, 35, 1, Winter: 69.

Sigman, Hilary (2003), "Letting states do the dirty work: State responsibility for federal environmental regulation," *National Tax Journal*, 56, 1, Marcy: 107-122.

### **Management and Policy: Economic Development; Transportation**

McDowell, Bruce D. and Sheldon Edner (2002), "Introduction: Federalism and surface transportation," *Publius*, 32, 1, Winter: 1-6.

Edner, Sheldon and McDowell, Bruce D. (2002), "Surface-transportation funding in a new century: Assessing one slice of the federal marble cake," *Publius*, 32, 1, Winter: 7-24.

Swope, Christopher (2005), "The fast lane," *Governing*, May.

Swope, Christopher (2005), "Rethinking the urban speedway," *Governing*, October.

Albalade, Daniel and Germa Bel (2009), "What Local Policy Makers Should Know about Urban Road Charging: Lessons from Worldwide Experience," *Public Administration Review*, 69, 5, Sept/Oct: 962-74.

Brunori, David (1997), "Principles of tax policy and targeted tax incentives," *State and Local Government Review*, Winter, 29, 1: 50-61.

Wasylenko, Michael (1997), Taxation and economic development: The state of the economic literature," *New England Economic Review*, March/April: 37-52.

### **Management and Policy: Security, Immigration; Other?**

Caruson, Kiki et al (2005), "Homeland security preparedness: The rebirth of regionalism," *Publius*, 35,1, Winter: 143-68.

Eisinger, Peter (2006), "Imperfect federalism: The intergovernmental partnership for homeland security," *Public Administration Review*, 66, 4, Jul/Aug: 537.

Landy, Marc (2008), "Mega-Disasters and Federalism," *Public Administration Review*, December.

Roberts, Patrick S. (2008), "Dispersed Federalism as a New Regional Governance for Homeland Security," *Publius: The Journal of Federalism*, 38, 3: 416-443.

Derthick, Martha (2007), "Where federalism didn't fail," *Public Administration Review*, 67 Supplement, December: 36-47.

Lina Newton, Lina and Brian E. Adams (2009), "State Immigration Policies: Innovation, Cooperation or Conflict?" *Publius: The Journal of Federalism*, 39, 3: 408-431.