

University of North Carolina at Greensboro  
Political Science 512  
FEDERALISM AND INTERGOVERNMENTAL RELATIONS  
Fall 2007

<b>Instructor:</b>	Kenneth A. Klase
<b>Class Meeting:</b>	Thursdays, 6:30 – 9:20 p.m.
<b>Office and Hours:</b>	Graham 235, Tuesday, 5:30-6:30, and by appointment
<b>Phone:</b>	256-0510 (O) / 297-9948 (H)
<b>E-mail:</b>	kaklase@uncg.edu

**Purpose of the Course:**

This course focuses on the changing relationships among federal, state, and local government agencies and institutional actors. It deals with both the historical development and theories of federalism and intergovernmental relations as well as identifying the key actors in intergovernmental politics and the policy process. The key components of fiscal federalism (including the advantages and disadvantages of different forms of assistance) and the purpose and functions served by grants-in-aid are also important aspects of the course. The course also highlights the aspects of intergovernmental relations beyond National-State relations to include interstate and state-local relations, the expanding role of regional cooperation, and recent developments in sub-national governments. Finally, the implications of intergovernmental relations for different policy areas are explored.

**Required Readings:**

G. Ross Stephens and Nelson Wikstrom, *American Intergovernmental Relations: A Fragmented Federal Polity*, (Oxford University Press, 2007).

Laurence J. O'Toole, Jr., Editor, *American Intergovernmental Relations: Foundations, Perspectives, and Issues*, Fourth Edition. (CQ Press, 2007).

**Course Requirements:**

**Participation (15%).** As a graduate level course, students are expected to contribute extensively to the conduct of the entire class. Classes will generally be in a seminar format with general discussion. Students are expected to complete all reading assignments, to attend class and participate fully in class discussions. Students are advised to be prepared to discuss relevant review questions related to assigned readings during student lead discussion of readings assigned. Failure to contribute in a positive way to the class will adversely affect your course grade.

**Abstracts/Discussion Leadership (30%).** Students will prepare and lead the discussion on **four written abstracts:** three on course article readings from the O'Toole reader and one on an outside journal article of your own choosing. Outside journal articles for abstracts should focus on topics related to national policy process and public policy, national-state or national-local relations (OCT 18); States in IGR or State-Local Relations (NOV 8); Local Governments in

or Regional/Inter-Local Relations (NOV 15); or Present and Future Issues in IGR (NOV 29). The outside journal article selection must be approved in advance by the instructor. The abstracts should be 1-2 page summaries and reviews of the articles. The abstracts will both summarize the content of the article as well as indicate its relevance or significance for the topic under discussion. The abstracts of the O'Toole readings will be due when the specific reading is scheduled for class discussion. Outside journal articles will relate to the topic for the date on which they are scheduled. There are separate sign-up sheets for the O'Toole articles and the outside journal articles. As a part of the seminar approach to the class, those assigned an abstract will be expected to lead the discussion of relevant review questions from the O'Toole reader related to the reading and should prepare additional relevant discussion questions (generally 2-3 for O'Toole readings or 3-4 for outside journal articles) related to their reading or article, its relationship to other readings assigned, and its relevance to the topic under discussion. Copies of the abstracts and questions should be provided to class members. Grading will be based on the abstract's clarity, organization, grammar, punctuation, spelling, coverage, objectivity and on the in-class presentation (approximately 10-15 minutes), discussion questions, and leadership of discussion in class relating to the reading or article and its importance or significance for the topic under discussion.

**Case Study Analysis and Discussion Leadership (25%).** Each student will participate as part of a group in analyzing and presenting one of the five case studies in Stephens and Wikstrom to be scheduled where the case study occurs in the course. The written analysis and case discussion leadership are weighted equally in evaluating this requirement. The group will share responsibility for a written analysis (5-10 pages) which should address critically the relevant intergovernmental concepts, issues and concerns in the text that apply to the case. Two students will be assigned to the same case. They will share responsibility for jointly directing the class discussion of that particular case and will be jointly evaluated on their performance for this part of the assignment. Guidelines will be provided for the written case analysis and the case discussion leadership. Students will sign up for one of the five cases during the first class session.

**Research Paper (30%).** A 10-15 page research paper will involve analysis in a policy area where intergovernmental relations or federalism is a major issue. Some suggested issue areas include: Economic Development, Infrastructure, Transportation, Environment, Housing, Affirmative Action, Immigration, OSHA, Health. Social/Welfare, FEMA, and Education have purposely not been listed since research paper topics may not duplicate the focus of case studies covered in the course. Students may suggest others. This paper will focus on the role of IGR and federalism in the policy area as well as the issues surrounding that policy area that cross over governmental levels. A topic proposal with proposed bibliographic references will be due October 18. An oral report (10-15 minutes) to the class about the paper will be scheduled during the second half of the course and will be evaluated as part of the grade for the assignment (10%). The paper is due December 6.

**Undergraduate Requirements,** Undergraduate students enrolled in the course will not be required to complete the research paper but will have a final exam substituted for the requirement.

**Class Schedule and Reading Assignments:**

Students are expected to have read the assigned readings by the dates assigned. Readings are found in Stephens and Wikstrom or the O'Toole reader.

**AUG 23 Introduction and Course Overview**

**AUG 30 Historical Perspectives on Federalism and IGR**

Stephens and Wikstrom, Ch. 1, (1-22)  
O'Toole, "American Intergovernmental Relations: An Overview"  
Madison, "Federalist No. 39," (O'Toole, Ch. 1)  
Diamond, "What the Framers meant by Federalism," (O'Toole, Ch. 2)  
Grodzins, "The Federal System," (O'Toole, Ch. 3)  
Schreiber, "The Condition of American Federalism," (O'Toole, Ch. 4)

**SEP 6 Theoretical and Other Perspectives on Federalism and IGR**

Stephens and Wikstrom, Ch. 2, (23-44)  
Wright, "Models of national, State, and Local Relationships," (O'Toole, Ch. 5)  
Derthick, "The Paradox of the Middle Tier," (O'Toole, Ch. 6)  
Rubin, "Puppy Federalism and the Blessings of America," (O'Toole, Ch. 6)

**SEP 13 Intergovernmental Politics I**

Stephens and Wikstrom, Ch. 3, (45-75)  
Reischaur, "Governmental Diversity," (O'Toole, Ch. 8)  
Commisa, "Governments as Interest Groups," (O'Toole, Ch. 9)  
Bowman, "Trends and Issues in Interstate Cooperation," (O'Toole, Ch.10)

**SEP 20 Intergovernmental Politics II**

Doernberg, "The New Federalism," (O'Toole, Ch.11)  
Halberstam and Hills, "State Autonomy in Germany and the United States," (O'Toole, Ch.12)  
Derthick, "Ways of Achieving Federal Objectives," (O'Toole, Ch.13)  
Kettl, "Homeland Security: The Federal Challenge," (O'Toole, Ch.26)

**Case Study 1-- Homeland Security: Intergovernmental Response**  
(Stephens and Wikstrom, Ch.3 (53-63)

**SEP 27 Fiscal Aspects of Intergovernmental Relations I**

Stephens and Wikstrom, Ch. 4, (76-107)  
OECD, "Fiscal Relations across Levels of Government," (O'Toole, Ch.14)  
Break, "The Economics of Intergovernmental Grants," (O'Toole, Ch. 15)  
Monypenny, "Federal Grants-in-Aid to State Governments," (O'Toole, Ch. 16)

**OCT 4 Fiscal Aspects of Intergovernmental Relations II**

Sbragia, "Entrepreneurial Cities, U.S. Federalism, and Economic Development," (O'Toole, Ch. 17)  
U.S. ACIR, "Why Categorical Grants?" (O'Toole, Ch. 18)  
Brunori, "Financing Local Government in a Changing World," (O'Toole, Ch. 19)

Nivola, "Tense Commandments: Federal Prescriptions and City Problems," (O'Toole, Ch. 20)

OCT 11 NASPAA Conference – No Class

OCT 18 **National Policy Process and Public Policy; National-State and National-Local Relations**

Stephens and Wikstrom, Ch. 5, (108-140)

**Case Study 2 – No Child Left Behind: implications for Intergovernmental Relations** (Stephens and Wikstrom, Ch.5 (114-122)

OCT 25 ABFM Conference – No Class

NOV 1 **Administrative Aspects of Intergovernmental Relations**

Stephens and Wikstrom, Ch. 6, (141-158)

U.S. ACIR, "The Techniques of intergovernmental Regulation," (O'Toole, Ch. 21)

U.S. ACIR, "The Role of Federal Mandates in IGR," (O'Toole, Ch. 22)

Posner, "The Politics of Unfunded Mandates," (O'Toole, Ch. 23)

Agranoff and McGuire, "Another Look at Bargaining and negotiating in Intergovernmental Management," (O'Toole, Ch. 24)

NOV 8 **States in the Intergovernmental System and State-Local Relations**

Stephens and Wikstrom, Ch. 7, (159-187); Ch. 8, (188-216)

**Case Study 3 – Welfare to Work** (Stephens and Wikstrom, Ch.7 (161-165)

NOV 15 **Local Governments in the American Intergovernmental System and Inter-Local Relations**

Stephens and Wikstrom, Ch. 9, (217-245)

**Case Study 4 – Semi-Independent State and Local Agencies**

(Stephen and Wikstrom, Ch.9, (218-221)

NOV 22 Thanksgiving Holiday – No Class

NOV 29 **Intergovernmental Relations: Present and Future**

Stephens and Wikstrom, Ch. 10, (246-277)

Walters and Kettl, "The Katrina Breakdown," (O'Toole, Ch.25)

**Case Study 5 – System Failure: Response to Hurricane Katrina**

(Stephens and Wikstrom, Ch.10, (248-254)

**Oral Reports on Research Papers**

DEC 6 **Emerging Intergovernmental Issues and Challenges**

O'Toole and Hanf, "American Public Administration and Impacts of International Governance," (O'Toole, Ch. 27)

Walters, "IGR and Federalism: Its Past, Present, and Future, and Does Anyone

**PSC512**

**Federalism and Intergovernmental Relations**

Care?" (O'Toole, Ch. 28)

O'Toole, "American Intergovernmental Relations: Concluding Thoughts."

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**Oral Reports on Research Papers**