

University of North Carolina at Greensboro
Political Science 512
FEDERALISM AND INTERGOVERNMENTAL RELATIONS
Fall 2009

Instructor:	Kenneth A. Klase
Class Meeting:	Thursdays, 6:30 – 9:20 p.m.
Office and Hours:	Graham 235, Tuesday, 5:30-6:30, and by appointment
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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 **two written abstracts:** one on a course article reading from the O'Toole reader and one on either another O'Toole reading or an outside journal article of your own choosing but related to specific topics assigned for the following dates: NOV 5, States in the Intergovernmental System or State-Local Relations; NOV 12, Local Governments in the Intergovernmental System; or

Federalism and Intergovernmental Relations

NOV 19 Intergovernmental Relations: Present and Future. 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. Students will sign up for the O'Toole articles and the outside journal articles at the first class session. 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. Four students will be assigned to each case. They will share responsibility for jointly directing the class discussion (approximately one hour) 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, 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 22. A brief oral report (5-10 minutes) to the class about the paper will be scheduled during the last two class sessions (NOV 19 or DEC 3) and will be evaluated as part of the grade for the assignment (10%). The paper is due December 3.**

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 27 Introduction and Course Overview**
- SEP 3 Historical Perspectives on Federalism and IGR**
Stephens and Wikstrom, Ch. 1 (1-22)
O'Toole, "American Intergovernmental Relations: An Overview," (O'Toole, pp.1-32)
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 10 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.7)
- SEP 17 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)
Bohman, "Trends and Issues in Interstate Cooperation," (O'Toole, Ch.10)
- SEP 24 ABFM Conference – No Class – Preparation for Case Study Analysis**
- OCT 1 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)
- OCT 8 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 15 NASPAA Conference – No Class – Preparation of Research Paper Proposal**

- OCT 22 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 29 National Policy Process and Public Policy;
Administrative Aspects of Intergovernmental Relations**
Stephens and Wikstrom, Ch. 5 (114-122); 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)
- Case Study 2 – No Child Left Behind: Implications for Intergovernmental Relations.** Stephens and Wikstrom, Ch.5 (114-122)
- NOV 5 States in the Intergovernmental System and State-Local Relations**
Stephens and Wikstrom, Ch. 7 (159-187)
- Case Study 3 – Welfare to Work**
Stephens and Wikstrom, Ch.7 (161-165)
- NOV 12 Local Governments in the American Intergovernmental System**
- Case Study 4 – Semi-Independent State and Local Agencies**
Stephen and Wikstrom, Ch.9 (218-221)
- NOV 19 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
- NOV 26 Thanksgiving Holiday – No Class**
- DEC 3 Emerging Intergovernmental Issues and Challenges**
O'Toole and Hanf, "American Public Administration and Impacts of International Governance," (O'Toole, Ch. 27)
Walters, "Intergovernmental Relations and Federalism: Its Past, Present and

Future, and Does Anyone Care?" (O'Toole, Ch 28)

O'Toole, "American Intergovernmental Relations: Concluding Thoughts," (357-360)

Oral Reports on Research Papers Continued

GUIDELINES FOR WRITTEN CASE STUDY ANALYSIS AND DISCUSSION LEADERSHIP

Each assigned group will prepare a written case analysis of one of the assigned case studies and will direct the class discussion of that particular case. The written analysis will be a brief, typed assignment (approximately 5-10 pages) which should cover the standard elements of a case analysis but also incorporate additional references and background material about the specific case being analyzed. You should plan to meet with the instructor prior to your scheduled case discussion leadership so that your approach to the case and your intended content coverage can be discussed. The guidelines in this handout are provided to indicate more clearly what is required in this assignment and to indicate the criteria that will be used in evaluating them.

WRITTEN CASE ANALYSIS

This written assignment is a group effort of students assigned to the case. You should produce a well-organized, well-written analysis that in scope and general content covers at least the following areas: **(1) The background of the case.** You need not go into extensive detail in accomplishing this but should key in on the situation presented in the case, the issues revealed, and the problems that are the basis for the case; **(2) The relevant intergovernmental relations concepts and topics which apply to the case from the text and other readings.** You should thoroughly cover how the case is an application of the concepts, issues, and topics that are discussed in the reading assignments related to the case. This section may offer the opportunity to incorporate other references beyond those in the assigned reading; **(3) A general discussion of the issues and problems in the case and how they might be resolved.** In this section you should cover the issues and problems that have been identified in the case. You should also present the solutions that have been suggested by various sources for the problems and issues identified in the case. This section may offer the opportunity to incorporate other references beyond those in the assigned reading. Include references to tables or appendices as appropriate; **(4) Conclusions and Recommendations.** In this section you should provide a summary of your analysis, note any conclusions that you or others have drawn, and provide recommendations that have been suggested with respect to the case. What is the likely future outlook with regard to the subject of this case study?

While this is a brief assignment (approximately 5-10 pages), it does require critical analysis to be performed. The written product must be well-written and clearly

presented with well-argued points. You may use sections which correspond to the areas described above, or you may select other organizing methods. In any case, be sure to thoroughly cover the content indicated above. You may, of course, cover other

aspects that you feel relevant for your case in addition to the areas noted. The written analysis is weighted equally with the discussion leadership in evaluating this course requirement.

CASE DISCUSSION LEADERSHIP

Once you have read your case and the relevant text reading, have considered how you might approach leading the class discussion of the case, and have consulted with any other students jointly assigned discussion leadership responsibility, you should plan to meet with the instructor to discuss your approach to the case. This portion of the assignment is a group activity which is weighted equally with your individual written analysis. It will be evaluated as a joint activity, and those assigned discussion leadership responsibility will receive a common grade. Having been assigned a particular case, it is your responsibility to investigate the background of the case, the issues and problems, and the suggested solutions and to apply the relevant assigned readings and other relevant reference materials to that case. As the more-or-less "expert" on the case, you are then **responsible for leading the class discussion of the case (approximately one hour)**. There are several aspects of this assignment which will be considered in evaluating it: **(1) Effectiveness at discussion leadership (general approach and climate)**. To what degree have discussion leaders presented an opportunity for general class discussion of the case? This is the overriding consideration in evaluating this assignment. It is the responsibility of the discussion leaders to utilize an approach and to set a climate which will allow full participation by the class. You may liken this to a seminar setting with the requirement that all members of the seminar must participate fully for it to be effective. While individual class members have the responsibility to participate fully as evaluated in their class participation grade, discussion leaders must present them the opportunity to do so. The effectiveness of case discussion depends on active participation. **(2) Coverage of the case and relevant concepts, issues, techniques**. Your group should plan to **present a brief overview of the background of the case**. You should incorporate here additional reference materials beyond what is in the case and assigned readings. This portion of the discussion leadership could involve use of Powerpoint presentation to cover the background or situation. **You should provide a handout with discussion questions which focus on aspects of the case**. Discussion leaders will be evaluated on the extent to which they have attempted to involve the class in discussion of aspects of the case. Aspects include the following: background or situation; significant issues or problems; relevant concepts and topics from assigned readings; how the case relates to these concepts and topics under discussion; general discussion of the case as an application of these concepts/topics; how to solve the problem(s) or resolve the issues presented in the case; conclusions/recommendations and future prospects. Important

here is the notion that the discussion questions should be used to develop discussion on the aspects of the case rather than discussion leaders engaging in further oral presentation. There is an expectation that the relevant content of all the aspects mentioned will be covered in discussion, but the discussion leaders should lead the discussion in such a way that those points are elicited from the class rather than presented. Of course, if the class does not respond, some aspects of the case may have to be presented or pointed out by the discussion leaders where appropriate. The overriding consideration is to lead the discussion rather than presenting an oral report.

(3) Use of presentation techniques. What presentation techniques were utilized by the discussion leaders? A straightforward discussion can be as effective as, or in some cases more effective than, other approaches. Other techniques (i.e., role playing, guest speakers, group processes, etc.) may be used where appropriate; however, there is absolutely no expectation that any particular techniques should be used. Some of the best discussions may result from good thorough preparation and good application of communication skills. Consideration may also be given to use of visual aids where appropriate including the following: chalkboard (listings, outlines, diagrams); Power Point or other overheads; flipcharts; posters; and other media (e.g., videos). Handouts should be used as appropriate or required.