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# Appendix A

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## **Sample Comps Questions and Students Answers**

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MPA Comprehensive Exam  
Study Guide

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**Q – 1 Explain how public managers can use strategic analysis to implement public policies. Describe some of the possible approaches or models they may use.**

### **First There's Strategy**

Strategy involves the match between an organization and its environment. Although some environments change faster than others, all organizations operate in a changing environment. Certainly, the public accounting profession has seen tremendous change over the last decade. New developments have included, for example, technological changes, new types of investments, increasing complexity in the tax code, personal financial planning, and increasing liability insurance premiums.

As the environment changes, threats and opportunities are encountered. Some organizations react to the changing environment by implementing changes in their structure. These changes can affect the relationship between the firm and its environment, or the changes can relate to the internal operations of the firm. Changes relating to the relationship of a firm to its environment have more impact on the organization's effectiveness, and changes involving the organization's internal operations have a greater effect on the efficiency of the firm.

In general, the long-run success of a firm is more dependent on the organization's effectiveness rather than its efficiency. As Peter Drucker stated, "It is more important to do the right things than to do things right."

Thus, it is more important to long-run success to be effective--being in the right place at the right time, offering the services demanded by the firm's market niche--than to be efficient--achieving the most output from a given set of inputs, e.g., using the internal resources of the firm to their maximum. It is possible that a firm doing the right things wrong (effective but not efficient), can outperform a firm doing the wrong things right (efficient but not effective). Concentrating on change involving the organization's internal operations and being extremely efficient will not always insure a firm's long-run success.

## **Next There's Strategic Management**

Strategic management is a continuous process that works to fit an organization into its changing environment. Strategic management is a broader concept than strategic planning. Strategic planning (or long-range planning) is traditionally regarded as a periodic process to develop long-range plans for the organization. Strategic management consists of strategic decision making and strategic planning. Thus, strategic management focuses on any strategic decision that must be made, regardless of its time frame and the planning necessary to complement that decision.

Strategic management should not be thought of only in a long-term time frame. Many times, changing a firm's strategies does take a long time to become operational, but sometimes threats or opportunities emerge that must be acted upon immediately. Thus, strategic management includes any decision that has strategic consequence and developing a plan (whether short or long-range) to implement the decision.

Strategic management should also not be confused with operating management. Operating management deals with the ongoing, day-to-day operations of the firm. These decisions are aimed at improving the efficiency of the firm. Certainly, operating management must not be neglected, and both areas of management responsibility must fit together and complement one another. The strategic function and the operation management function may be carried out by the same people, but the strategic function is separate and distinct from the operating function.

The strategic management process involves taking advantage of the opportunities that are made available to the organization and minimizing the threats to the organization. As a minimum, an organization must be able to react effectively to changes over which it has no control. With an effective strategic management function, a firm may be able to endure change that causes threats for the competition.

## **And Then There's Implementation**

Implementing a strategic management system is an administrative task carried out by a group of the firm's partners and managers. At first, the task can be time consuming. Once the basic system is in place, it will be less time consuming to keep it operating

than it was to implement. Probably the best method to generate support for the program is to stress that a strategic management system can improve the firm's overall performance.

Implementation of the strategic management system must be approached in a manner indicating that the small planning group is not trying to take over the firm. It must be made clear from the start that the group will work within the bounds of the organization and that all members of the firm will have input into the process. Without the support of the other members of the firm, the process may be doomed to failure.

Another way to increase support for the strategic management system is the use of consensus decision making rather than formal vote taking. Voting on issues tends to divide the organization rather than unite. Voting forces individuals to argue and to try to convince others of their views. Consensus decision making fosters working together and can lead to increased cooperation among members of the organization.

A possible stumbling block to a successful strategic management system is reluctance to change. No benefits can be derived from brilliant strategies unless they are implemented. One way to increase the chances for acceptance of change may be to introduce change more frequently for relatively less important matters. As change becomes more commonplace, if the strategic management process proposes change, it may be more readily accepted.

### **The Overall Process**

At first, the process should focus on formulating the business's mission and the overall direction for the organization. With this clearly in mind, better goals and objectives can be set for the firm to help achieve its mission. This is a difficult project and will not result in a finished product, but rather serve as a starting point.

Early on, the process should attempt to identify the major strategic issues facing the firm. Having this formalized process forces the leaders of the organization to focus on the future and the strategic issues the organization may face. Without this process, many of these issues may, be overlooked until it is too late. Then the firm can only react to the issues rather than anticipating the situation and taking advantage of it.

The next phase of the process involves analyzing the firm's strengths and weaknesses (an environmental analysis) and current services to clients in relation to objectives. Insight into an organization's strengths and weaknesses can be gained by examining informal factors such as the organization's past, its current employees, average age of employees, the current and future partner/manager/staff ratios, salary requirements of personnel, employees' expertise, the business's financial position, and its location. An environmental analysis also consists of studying external factors such as the growth patterns of the surrounding community, types of current and potential businesses in the community, the local economy, average age of the community, changes in client services demanded, services offered by other public accounting firms in the community, future supplies of accountants, and new tax laws.

The final step in this phase compares the firm's current services to clients to the firm's stated objectives. This should determine if there are gaps that can be filled or services that should be eliminated.

At this point (or at various points during the process), progress reports should be made to the entire firm. This serves to keep the process on track by generating input from the entire firm, and it keeps the process out in the open so everyone feels a part of it.

The final part of the process involves a meeting with the entire firm. This should include a presentation by the planning group covering the mission objectives statements and the analysis that has been done. Then the entire firm can discuss the mission statement and objectives and finalize these documents. Finally, changes that are to be implemented can be identified, and work groups can be set up to begin implementation. At this point, the purpose of the strategic management process is to monitor the progress of the changes and to receive feedback. As well, the firm will now have a process in place that can continually monitor the environment and be ready to promptly act on threats and opportunities that have strategic consequences.

A formalized strategic management system can be a powerful tool to achieve a better match between its strategies and its environment. The process provides a way for the

firm to determine where it is currently and where it wants to be, and helps to formulate a plan so the firm can achieve its objective.

### **Extra material**

#### 1. Values

Each sector is committed both to the values of public service (the seven principles identified by the Committee on Standards in Public Life – selflessness, integrity, objectivity, accountability, openness, honesty and leadership) and to the highest academic standards, including:

- rigorous independent research, evidence, evaluation and thinking
- speaking truth to power, without fear or favor
- working across all political parties and perspectives
- exploring the inter-relationships between public, private, voluntary and informal sectors
- taking into account perspectives from a wide range of stakeholders
- linking theory to practice, and research to action
- working in partnership and dialogue with policymakers, and managers
- linking research to development to education and learning
- aiding the translation of policies into practices
- recognizing diversity and emphasizing equalities
- encouraging thought leadership and learning

#### 2. Changes, Complexity, Challenges

Profound political, economic, technological and social changes are taking place both globally and locally, and facing citizens, governments, businesses, voluntary and informal organizations with far-reaching challenges.

Deep questions are posed for the public, private, and third sectors by structural changes like:

- Globalization of the economy, and of culture
- European integration and expansion
- The revolution in information and communications technologies
- Industrial restructuring and concentration
- Ecological and environmental change
- Ageing of the population
- Brutalization, crime and community safety
- Social exclusion and poverty
- The democratic deficit
- Diversities of identity and representation

Complex cross-cutting issues like these require governments and other organizations to develop capabilities for:

- medium to longer term scenario based planning, with a 5 to 10 year horizon
- strategic analysis combined with lateral thinking and creativity
- translating strategies into practical policies and action programs
- knowledge generation, innovation, testing and rapid dissemination
- detailed management of implementation, logistics and operations
- leadership and management of organizational and cultural change
- mobilizing inter-organizational networks and partnerships
- involving citizens and users in service development and delivery
- multi-level working between the tiers and spheres of governance

Governments at all levels, along with other sectors and services, now therefore have to operate in a context of continuous change, complexity and volatility.

Organizations of all kinds have to develop new more flexible and adaptive patterns of governance and leadership, policymaking and strategy, management and service-delivery, if they are to respond adequately to these changes and challenges.

Governments in many countries are exploring new approaches to modernization and improvement of public services, including attempts to develop more "joined up" citizen-centered approaches, in which government and the public service sector are organized around the cross-cutting needs of citizens and users, rather than around the interests of the professions and departments which have traditionally structured government bodies.

### 3. The Need for a Major New Initiative

Much of the more traditional writing and teaching about public administration in the UK is both out of date and also out of touch with the complex realities facing policymakers and managers in government and the public service today.

There is often a failure to take sufficient account of the deep structural changes which have taken place in the political, economic, social and technological context of public services, over the past 5 to 10 years, and the consequences of these changes for the role, purposes and nature of democratic governance, public policy and public management.

Many of the traditional assumptions about public administration no longer apply, and must be revised to provide explanations which are more appropriate, illuminating and relevant:

- The context for public policy and management is no longer one of relative stability, but one of continuous change and uncertainty (political, economic, social and technological).
- Public policymakers and managers now recognize that the needs and problems facing citizens, communities and governments are complex and diverse rather than straightforward, that previous patterns of government intervention have not been notably effective in resolving these problems, that the best solutions and responses are not always known or understood, and that Governmental



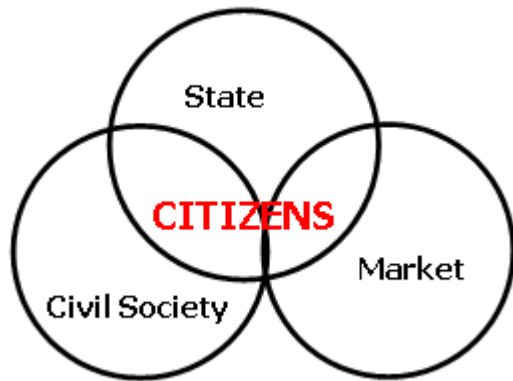
policies and programs therefore have to be developed and tested in a more provisional and reflexive way.

- The assumption that the needs of their populations were relatively homogeneous and that Governments could therefore mass produce fairly standardized services to meet uniform needs is being replaced by a recognition of the range and variety of needs within the population and therefore the necessity to develop diverse services, tailor-made to the needs of particular groups of citizens and users within the population.
- The assumption that the primary task of Governments was to administer the state apparatus (primarily through command and control of the bureaucracy and its budgets and procedures) is giving way to a recognition that the primary task of Governments is to govern their communities and economies (and that this requires not just administration of the bureaucracy but also civic leadership in the community).
- The assumption that the state would be the main provider of public services, and that a watertight distinction could be made between public and private sectors, between the state and the market is being challenged by the view that civic leadership cannot be provided by the public sector alone, but requires new kinds of partnerships and joint ventures between public, private, voluntary and grassroots sectors. It recognizes the need to analyze the inter-relationships and inter-dependencies between three spheres - state, market and civil society.
- The assumption that education and training should concentrate mainly on the techniques and procedures for the internal administration of the public bureaucracy is being replaced by a recognition of the need to set public administration in the wider context of democratic governance and public policy and management. Courses therefore need, among other things, to address issues of civic leadership as well as public administration, policy formulation as well as policy implementation, strategic management as well as operational management, evaluation of the impacts, outcomes and results of public programs as well as the measurement and control of cost inputs.

## **Theorizing Governance**

Seven main versions and uses of the term governance have been identified in the academic literature (Hirst, P 2000; Rhodes, R 2000):

- Governance as part of the so-called New Public Management, arising from the marketization and sometimes privatization of public services, and the consequent need for public authorities to "steer" the work of organizations which they no longer own or control but are sub-contracted to deliver services.
- "Corporate governance" as a means of improving the accountability and transparency of actions by the boards and managers of companies, especially to wider stakeholders outside the company.
- "Good governance" seen by international development agencies like the World Bank as a necessary condition for economic development particularly in the third world
- "Global and regional governance" as a response to the problem of regulating supra-national issues like global warming or world trade through the nation state, or through inter-governmental activity.
- Governance as part of the new political economy which draws on regulation theory to interpret the blurring of the boundaries between state, market and civil society, and the shifting patterns of leadership and coalition between competing interests and ideologies.
- Governance within a socio-cybernetic system where there is no single or stable centre of control, and where continuous waves of change produce complex fluxes and flows of power, and multiple actors and authorities.
- Governance within policy networks and inter-organizational networks in which government itself is only one of a wide range of actors, and has to orchestrate or negotiate with a wide range of different stakeholders. Governance in this context is particularly complex not only because it cuts across the boundaries between different sectors, but also because state, market and civil society are each constructed around very different goals, values, accountabilities and organizational forms.



**FIGURE 1: RELATIONSHIP BETWEEN STATE, SOCIETY AND MARKET**

Broad themes to be explored by the Institute include the implications for governance and public management of the changing, complex and dynamic inter-relationships between

- state and civil society – including the relationships between representative and participatory democracy; and between producers and users of public services
- state and market – including public/private partnerships, management of regulated industries, the role of the state in social reproduction, and in the regulation and ordering of markets
- market and civil society – including corporate citizenship, the role and power of consumers, the marketization of everyday life
- state, market and civil society – those areas of confluence and inter-action between all three spheres, where the vector forces are most complex and contradictory.

**Q – 2 Criticism of bureaucratic performance seems to have reached epidemic proportions. Although citizen complaints stem from many origins, some observers, such as James Q. Wilson, speak to a common misconception:**

The greatest mistake citizens can make when they complain of “the bureaucracy” is to suppose that their frustrations arise simply out of governance problems.

While it is apparent that Wilson sympathizes with the governance position, others disagree. Assess both sides of this debate, incorporating organization and

administration theory as well as related literature, and defend your own position in the debate.

- Hamilton argued in Federalist 27 that the more people experience the actual operation of government on the common occurrences of their lives, 'the more it will conciliate the respect and attachment of the community.
- Americans harbor anitgovernmental, antibureaucratic attitudes in the abstract, but most approve in general of current governmental policies and services Meier
- Meier's definition of governance is very different from other definitions. I am using the term governance in the same sense that Aristotle used politics; it is the process of governing society in a generic sense.
- The problems in American government in my view are not problems of bureaucracy but problems of governance. In contrast to what is adequate performance by the bureaucracy the performance of our electoral institutions has been dismal.
- The irony of the situation is that as the electoral branches stalemate, they act against the bureaucracy- the one part of government that has a capacity to govern.
- The norms of democracy grant policy-making legitimacy to electoral institutions not to bureaucracy.
- The fundamental problem of governance that has generated the continual state of crisis in political/bureaucratic relationships is that the electoral branches of government have failed as deliberative institutions; they have not resolved conflict in a reasoned manner.
- Failure to establish new policy is not the only area where political institutions have failed. At times policies have contradictory goals and these are left to the bureaucracy to grapple with as best it can.
- The failure to resolve goal conflict with informed public policy is exacerbated by the development of the continual campaign for office.

- Politicians compete with each other to adopt more extreme policies; the normal tempering role of bureaucracy, the application of expertise to policy and policy proposals is lacking.
- Policy failure then leads to greater cynicism among the public.
- Our basic problem of governance is that the long running interplay between bureaucracy and expertise on the one hand and responsiveness and democracy on the other hand has swung too far in the direction of democracy.
- Bureaucracy is being asked to resolve political conflict, a function it performs poorly at best.
- The solution to the governance problem in the united States is to have more bureaucracy and less democracy.
- Solutions
  1. Replace checks and balances system with more unified political structures
  2. Lengthen the time frame for public policymaking.
  3. Restrict and perhaps even eliminate political appointees.
  4. Reduce the public sector reliance on the private sector.
  5. Bureaucracy's normative role in public policy suggests that bureaucracy serves best when it exploits its information and expertise advantages.
  6. Bring the institutionalized presidency under the merit system.
  7. Replace the current public philosophy of neoclassical economics and its sole value of efficiency.
  8. Reorient our education programs from training entry level civil servants to training policymakers.
- The bureaucracy, by most objective standards, is performing fairly well while the electoral institutions seem to be deteriorating.

Wilson

- Americans fear bureaucracy's use of discretion to guide decisions and actions, and insist on rules, for example, particularly "at the hands of...street-level bureaucracies that deal with us as individuals rather than as organized groups and that touch the more intimate aspects of our lives [e.g., police, schools, medical institutions, prisons]. That worry is natural; in these settings we feel helpless and The State seems omnipotent. We want these bureaucracies to treat us fairly but we also want them to be responsive to our particular needs..."
- How then does a society strike a reasonable balance between governance by rules and governance by discretion? First, Wilson suggests, we must "sensitize ourselves to the gains and losses associated with governance by rule rather than by discretion." We need to be aware that in America rules induce agencies to 1) produce certain observable outcomes, 2) create offices, procedures, and claims inside an organization that can protect precarious values, and 3) specify minimum standards that must be met. Talented, strongly motivated people usually will find ways of making even rule-ridden systems work to get the job done, says Wilson. Second, if we wish to complain about how rule-ridden our government agencies seem to be, we should direct those complaints not to the agencies but to the Congress, the courts, and the organized interests that make effective use of Congress and the courts."

**Q – 3 What are the major approaches to measuring service quality? How applicable are they to the case of public agencies?**

There are a number of approaches to measure service quality and many are appropriate for public organizations. While there are great similarities between public and private organizations, there are several methods to measure service quality used by the private sector that are clearly not compatible with public organizations.

"Early work on municipal service quality assessment recommended multiple measures of performance from both providers and users. Citizen satisfaction surveys have rivaled their more quantitative counterpart, administrative performance measures, in adoption, but the implication of survey results for action is not well understood by

managers or scholars. To achieve meaningful integrated multiple measures of service quality, we need to explore the dimensions of citizen satisfaction and review patterns of satisfaction across localities. We also need to understand the relationship between administrative performance measures and citizen perceptions. This cross sectional analysis of municipal citizen satisfaction and performance benchmark data suggests that citizen satisfaction survey results are useful to managers in conjunction with performance-measurement programs as part of a multiple-indicator approach to evaluating municipal service quality. However, understanding citizen perceptions requires a different perspective than that applied to administrative service performance measurement.”

(Kelly, J.M., Swindell, D. (2002). A multiple-indicator approach to municipal service evaluation: correlating performance measurement and citizen satisfaction across jurisdictions. *Public Administration Review*, 62, 5, 610-621.)

Other approaches to measuring service quality are:

- Customer Interaction – works for the public sector
- Self Assessments – works for the public sector
- Mystery Shopping (now here’s an idea for a public service!)
- Organizational Report Cards

#### **(Service Evaluation Concepts (2005)).**

Fred David (p.317-320) introduces us to a number of useful methods to measure service/performance. For example, comparing expected results to actual results, investigating deviations from plans, evaluating individual performance, and examining progress being made toward meeting stated objectives. These are viable measures for private and public agencies. Other procedures commonly used for measuring service quality include: 1) comparing the agency’s performance over different time periods, 2) comparing the agency’s performance to competitors’ (this seems particularly useful with contracting out or privatization, that is, government comparing their performance with a private entity), 3) comparing the agency’s performance to industry averages. These are all good measures and can be analyzed with both quantitative and qualitative methods.

Robert K. Yin reminds us that the case study method is best used when seeking the “how” or “why” questions asked about a contemporary set of events, over which the investigator has little or no control. Actually, Yin recommends the use of the dual approaches of case study and survey methods. Therefore, the case study is a superlative method of measuring service quality. Yin (p.8) relates that one particular method, the randomized field trial, was designed for evaluation research and is commonly used. While this method works well for both public and private organizations, Yin points out that randomized field trials do not work well in a number of situations.

A related article that is excellent for this and other public administration topics to describe the differences between public and private organizations is:

Rainey, H.G., Backoff, R. W., Levine, C.H. (1976). Comparing public and private organizations. *Public administration Review*, March/April, 233-244.

Of importance, is page 240, section III, 3. Performance Characteristics. This short section discusses the observations of Dahl, Lindblom, Golembieski, and Downs concerning the performance of government organizations and administrators, usually in comparison to business.

Performance assessment is often implemented as a series of specific performance measures associated with certain service functions or as indicators of progress toward a mission, as in the case of service efforts and accomplishments. These may be thought of as internal measures of service quality because they come from a definition of effectiveness derived and monitors by administrators. In contrast, external measures of service effectiveness come from citizens, usually through satisfaction surveys. Results from these kinds of measures are problematic for administrators because it is unclear what criteria the citizens are using to evaluate effectiveness. Also questionable is how much accurate information citizens have on which to base their evaluations.

Administrative performance measures are widely accepted as reliable indicators of service quality though there is considerable variation in the types of measures employed and how local governments use them. There is not so much consensus on



the utility of citizen satisfaction surveys as a reliable indicator of government performance, which makes this topic a bit more interesting.

**Q – 4 Some scholars have argued that “public policy is public administration.” First, evaluate whether this statement accurately captures the field to date. Then examine if this statement – or a replacement – explains where the field appears to be heading for the foreseeable future.**

- According to **Barrett & Fudge** (*Policy & Action*, 1981) “policy doesn’t implement itself.” Implementation transforms policy into action, operationalizing often ambiguous policy.
- Thus, the study of “implementation theory” a terminology initially used by **Pressman and Wildavsky** (1973) to bridge the gulf between politics and administration. Focus on the normative advice feeding back into policy design, researching lessons learned from implementation failures
- **LJ O’Toole** (1986, 1993)
  - Emphasizes the academic backwater into which implementation research has drifted; reviewed over 100 studies of public policy implementation
  - role of implementation research for policy recommendations
  - relying upon a linear model of implementation and ignores the ambiguous nature of political policy initiatives, multi-actor contingencies and conflict
- Kingdon
  - 1990 – Implementation studies used to show folly of government policy
- Lipsky (1980)
  - Emphasis on street bureaucrat, deviating from the linear, top-down policy process; bureaucratic discretion enters equation.
- **Lester Salamon** (*Beyond Privatization: The Tools of Gov. Action*, 1989) describes the traditional tools of policy implementation as the direct “command and control” tools such as public enterprises, regulatory agencies
- Future

- **O'Toole (2000)** suggests that field is alive and contributions are **indirect**, framed in **Ostrom's (1999)** work on institutional analysis. A stronger focus on governance (Stone, 1989) and network analysis (Kikert et al, 1997; Rhodes, 1997)
- **Schlager, (1999)** Implementation studies need to reflect new and emerging political ideas which impact public service organizations: Changing views of citizenship, networks, governance.
- **B. Guy Peters (1996)** *The Future of Governing: Four emerging Models* & "Governance without Governing" (1998) shows that the hollow state needs tools and procedural instruments, such as the government-NGO partnership
- **N. Henry (1991)** *Public Administration and Public Affairs*, indicates that strategic planning has surfaced as a practical paradigm of public policymaking that reconciles the rational and incrementalist perspectives.

Globalization, terrorism, development, and modernity have changed the world in which we live. Dynamic environments have the potential of creating great uncertainty for individuals: should one invest in American corporations when it is unclear if your money goes to increasing infrastructure or a CEO's wallet? Is it safe for an Afghan mother to go to the morning market without a headscarf? Should the World Bank invest in continually failing economies? All of these questions are difficult because it is unclear to individuals what the outcomes of human interaction will be. Public policy is the study of how we attempt to stabilize the ways we interact. From this perspective, public policy is not only formal legislation coming from Congress or cases from the courts; public policy encompasses both formal and informal human constructs that make the social world more understandable.

**Q – 5:** In class Dr. R. gave us copies of 4 comps questions. One was the question about "PA being in search of an "identity." She told us that the answer should include the 5 eras of PA discussed in **Shafritz & Hyde's Classics of PA.**

These 5 eras are:

1. 1880s-1920s
2. 1930s-1950s

3. 1960s and 1970s

4. 1980s and 1990s

5. The present (This is not shown in the Classics book, but Dr. R. has confirmed this is the 5th era)

### **Hatch, Mary Jo. *Organization Theory* (1997)**

#### Four Major Perspectives

##### 1. Classical (1900s---)

Industrialism---Adam Smith---father of capitalism---1776---Wealth of Nations---invisible hand---div of labor (e.g., pin factory)

Post industrialism---society and organization---Wal Mart/Saturn (no Boundaries)

#### **Sociological stream**

Emile Durkheim (p. 30)---sociologist---explained structural shifts from ag. to industrial organizations---informal orgs focus on workers social needs  
Max Weber (p. 32)--- he liked law/structure father of bureaucracy--- it is a way to rationalize the social environment---formal rationality (means or techniques) and substantive rationality (ends or goal)---formal rationality w/o substantive rationality leads to an *iron cage*---making man a cog in a machine

Karl Marx (p. 28)---theory of capital---inherent antagonism between capitalists and workers over how to divide surplus value---workers are alienated so they must organize

#### **Classical Management stream**

Frederick Taylor---father of scientific management---he attacked soldiering (workers limiting their output on purpose---time/motion studies---one best way promoted rationalization in orgs

Henri Fayol---(p. 32)---span of control---“departmentation”---unit of control---hierarchy---*esprit de corps*

Chester Barnard---expanded Durkheim's informal org---integrated goals and motivation---contributed more to org behavior than org theory

## 2. Modern (1950s---)

- Kenneth Boulding (36)---hierarchy of *systems*---any thing w/ interrelated parts  
A control or cybernetic system uses feedback (e.g., a thermostat)
- A closed system does not require additional input to operate
- An open system depends on the environment for inputs to operate

Network analysis—looks at the complex web of relationships of how the org interacts with other orgs and with its environment

The org and its environment are totally separate---there are boundaries

The general environment --- social, cultural, legal, political, economic, technological and physical components (p. 67)

The international and global environments also impact the org

“Buffering”---protecting the internal operations of an org from interruption by environmental shocks such as material, labor and capital shortages (p. 91)

Environmental scanning is done to protect against these threats

Jeffrey Pfeffer and Gerald Salancik---Resource Dependent Theory (1978)

An org is vulnerable because of its need for resources (raw material, labor, capital, equipment) from its environment --so the org is controlled by its environment (p. 78)

So we analyze the org by starting with the resources it needs and tracing them to their source---also look at the org's competitors for the same resour

Michael Hannan, John Freeman, Howard Aldrich---Population Ecology Theory

Orgs are dependent on the environment for resources but this theory focuses on patterns of success and failure among all orgs---not just one---it is survival of the fittest (p. 810)

Variation---changes in orgs

Selection---orgs choose certain characteristics

Retention---some survival

Philip Selznick---Institutional Theory

Orgs adapt to the values of external society---i.e, when actions are repeated and given similar meanings by self and others (Richard Scott) this is institutionalization---can lead to “rationalized myths”---i.e., TSU serves A/A students from all over the U.S.

Rational decision making (p. 273)

- Define the problem
- Generate and evaluate alternatives
- Select an alternative
- Implement
- Monitor
- Evaluate

Herbert Simon---bounded rationality

When making a decision, decision makers often have

- incomplete and imperfect information
- complex problem
- limited human ability
- time pressure
- conflicting preferences

The Garbage Can Model (p. 278)

- The decision making process is very random
- Actors move in an out
- Problems, participants, solutions are all independent
- Thrown into the garbage can at random

Power and Politics—Jeffrey Pfeffer (p. 282)

Strategy process (p. 105)

Rational model---SWOT analysis---look at the org's core competencies

Strategy formulation precedes implementation—it is top down

Emergent strategies can be bottom up

Goals---interrelated with strategies (p.119)

- Official---may be vague
- Operative---more specific

### 3. Symbolic Interpretive (1980s---)

Karl Weick---enactment theory---when you use concepts (i.e., organizations) you create the thing you're seeking to study---he is not pragmatic—he is an interpretist (p. 41)

Conditions in the environment can't be separated from the perception of those conditions (p. 93)

### 4. Postmodern (1990s---)

- be careful, many of them wouldn't like being put in a category
- this term includes a large variety of ideas---the key here is diversity
- it is relativistic---it abandons notions of universal truth---but it has some standards
- fragmentation is a key theme---breakdowns in family, community & society and threats to self identity are caused by trying to play so many roles with little separation between them

the future will see smaller, more decentralized and informal orgs causing us to face more ambiguity than ever---helping (and forcing) us to adapt to more and more change---the *paradox* is that science has created the means of sharing information so quickly, making orgs all the more unpredictable (p. 45) to prepare for the post modern world we must take nothing for granted---*deconstruct* everything!

Philosophy includes (see Burrell and Morgan, Sociological Paradigms and Org Analysis 1979)

*epistemology* (p.47)---*how* we know the world---the process by which we obtain knowledge

objectivists---positivists and empiricists---independent observation is required

subjectivists---anti-positivists and idealists---all knowledge is filtered through the observer

a third position---the process is greatly influenced by cognitive, social and cultural forces---language is very important---postmodern

*ontology*---*what* can be known (the kinds of things that exist)

**Q – 6: Describe no less than five (5) approaches/definitions/models of strategic planning and highlight their possible advantages and limitations in general and when applied to the public sector.**

Mintzberg, Henry and Quinn, James Bryan *Readings in the Strategy Process*

1. The Entrepreneurial Organization---p. 244 (Mintzberg)

- simple structure
- one flamboyant leader
- little staff
- the leader creates the strategy and can adapt it as he/she deems necessary

2. The Machine Organization---p. 265 (Mintzberg)

- more complex structure
- routine work (i.e., the postal service)
- highly standardized work processes
- very regulated, bureaucratic structure

3. The Professional Organization---p. 288 (Mintzberg)

- complex work (i.e., a university; a hospital)
- work must be carried out by professionals
- but stability is important

- standard operating procedures are used

4. The Innovative Organization---p. 309 (Mintzberg)

- must be capable of sophisticated innovation (i.e., a research firm)
- adhocracies---matrix organizations (move people around a lot)
- highly organic structure
- flexibility is the key
- experts are grouped in functional units and then deployed to teams as needed

5. The Diversified Organization---p. 335 (Mintzberg)

- the most complex structure
- a set of semi-autonomous units called divisions
- very common in the private sector
- each unit is relatively free from headquarters control

***The Model Approach --- the structure is most important***

**Chafee, Ellen Earle presents three models of strategy:**

- Linear---rational, logical / closed system
- Adaptive---monitor the environment / open system
- Interpretive---social contracts based on free will / open system

**Dutton, Jane**

Categorization theory---merely labeling an event as an opportunity or a threat affects information processing and motivation

**Ginter, Robert**

Social learning theory---behavior results from interactions of persons and situations

**Hart, Stuart**

Integrative framework---focuses on integrating the 5 roles played by top managers: command, symbolic, rational, transactive, and generative

*The Process Approach*---the process is most important



**Q – 7: The budget may be viewed as an instrument of fiscal policy, as a means of determining policy choices, and as a tool for managing the economy. Explain each of these aspects of budgeting. In your answer, emphasize the views of the classical or pre-Keynesian economists, Keynesian economists, neo Keynesians, the monetarists, the public choice school of economy, and leading public budgeting scholars.**

### **Classical/pre-Keynesian**

- Adam Smith wrote The Wealth of Nations in 1776 --- father of capitalism
- the free market is most important
- government's role in the economy is very limited
- voluntary exchange between buyers and sellers leads to economic efficiency
- prices are set by competition in the free market based on supply and demand

### **Keynesian**

- John Maynard Keynes wrote General Theory of Employment, Interest and Money in 1936
- some government spending is necessary to fine tune the economy
- performance by the economy in the aggregate is more important than individual
- so we need to look at output (GDP) , income and employment rates
- potential GNP means the full use of the factors of production (land, labor, capital)
- compare potential GNP with actual GNP
- aggregate demand  $Y = C + I + G + (X-M)$

C is consumption

I is investment

G is government spending

X-M is exports minus imports

- small deficits are ok---necessary to fine tune the economy
- the multiplier effect is very important---an increase in aggregate demand will result in an even larger increase in actual or equilibrium GNP

### **Neo Keynesian**

- Reagan and Bush One
- they called for big changes in government spending, interest rates and taxes to counter economic cycles
- in a recession they want more government spending and tax cuts to stimulate the economy
- in inflation they want less government spending and tax increases to slow the economy down
- they also use monetary policy (interest rates set by the Federal Reserve Board) to influence the economy

### **Monetarists**

- Milton Friedman and Alan Greenspan
- Dr. Sekwat says monetarists may be right----monetary policy may be more effective in impacting the economy than fiscal policy
- they are also called “counter Keynesians” because they disagree with Keynes
- they say the economy is inherently stable---government fine tuning is not necessary
- to them, the money supply is most important
- and the supply of money is controlled by interest rates which are set by the Fed

### **Public Choice**

- this is a modern day theory
- followed by pre Keynesian economists
- individuals are rational---they make choices to best benefit themselves (whether as buyers or as bureaucrats)
- politicians may claim to follow neo Keynesian policies but sooner or late they must balance the budget
- also see Forrester, John P., *Evolving Theories of Budgeting*, pp. 101-124

**Q – 7: Organizations are said to be difficult to evaluate; yet some argue that the public nature of government organizations compounds this difficulty. Discuss the contributing factors that make public organizations difficult to evaluate. Cite authors who argue that public organizations are more difficult to evaluate as well as some examples of those arguing the opposite view.**

James Q. Wilson noted that for public agencies, efficiency means not only one output considered. While there may be one major goal according to which we can measure the performance of public agency there always are some contextual goals that public bureaucracy must try to attain. Even if we considered only major goals, we would find that often they are difficult to measure as some public agencies exist to supply services that are immeasurable in economic terms hence they are not supplied by the market.

**Wildavsky, Aaron (1972). The Self-Evaluating Organization. *Public Administration Review*, 32(5): 509-520.**

- Evaluation and organization may be contradictory terms. The ideal organization would be self-evaluating. Organizational structure implies stability while the process of evaluation suggests change. Organization generates commitment while evaluation inculcates skepticism. Evaluation speaks to the relationship between action and objectives while organization relates its activities to programs and clientele (pp. 509-510).
- Rather than succumb to the diseases of bureaucracy, the self-evaluating organization will be tempted to pass them on to others. The self-evaluating organization can split itself off into “evaluating” and “administering” parts, thus making lower levels pay the costs of change, or it can seek to impose them on other organizations in its environment (p. 513).

**Ouchi, William G. (1980). Markets, Bureaucracies and Clans. *Administrative Science Quarterly*, 25(1): 129-141.**

- Bureaucracies can fail when the ambiguity of performance evaluation become significantly greater than that which brings about market failure. A bureaucratic organization operates fundamentally according to a system of hierarchical surveillance, evaluation and direction. In such a system, each

superior must have a set of standards to which he can compare behavior or output in order to provide control. These standards only indicate the value of an output approximately and are subject to idiosyncratic interpretation. People perceive them as equitable only as long as they believe that they contain a reasonable amount of performance information. When tasks become highly unique, completely integrated, or ambiguous for other reasons, then even bureaucratic mechanisms fail. Under these conditions, it becomes impossible to evaluate externally the values added by any individual.. Any standard which is applied will be by definition arbitrary and therefore inequitable.

**Scott, W. R. (1998). *Organizations: Rational, Natural and Open Systems*. Upper Saddle River, NJ: Prentice Hall.**

- Quite diverse conceptions of organizations are held by various analysts and associated with each of these conceptions will be a somewhat distinctive set of criteria for evaluating the effectiveness of organizations (p.344).
- Other important bases of diversity include time perspective and level of analysis. The criterion employed may vary depending on whether a relatively shorter or longer time frame is adopted. How critical a time frame is may depend on how rapidly the environment is changing. Level of analysis is a critical factor in accounting for the variations in effectiveness criteria. Our conclusions concerning the relative effectiveness of organizations will vary greatly depending on whether we emphasize their impact on individual participants on the organizations itself or on broader external systems (p. 345-346).
- It is important to emphasize that when we speak of goals in relations to ascertaining the effectiveness of organizations, we are focusing on the use of goals to supply evaluation criteria. Varying goals will beheld by different participants groups and constituencies in organizations, another consideration complicating the examination of effectiveness is the recent challenges to the assumption that organizations necessarily exhibit a unified or consistent set of performances (p.347-348).

- TQM has fostered ideas in which the concept of effectiveness has begun to be displaced by an emphasis on quality and a customer focus.
- Organizations demanding high reliability place extraordinary demands on all organizational components. They represent systems that devote much energy and attention to monitoring their own performance- but they do not fare well under the present conditions of increasing production pressures and reduced resources facing many organizations (p.351).
- The effectiveness of market –controlled organizations is directly determined by their customers: if their interests are satisfied then they will continue to supply the inputs required by the organization; if not then they can withhold their contributions, causing the organization to suffer and perhaps ultimately fail. (p.351).
- Many public organizations operate in non-market environments. Downs(1967:25&30) employs as his major criterion for defining a government bureau the condition that the major portion of its output is not directly or indirectly evaluated in any markets external to the organizations by means of voluntary quid pro quo transactions. This means that there is no direct relationship between the services a bureau provides and the income it receives in providing them. Attention to the institutional aspects of environments will show that such organizations are subject to extensive controls but of a different type: controls that emphasize process over outcome indicators of performance
- Non-market organizations are particularly likely to lack clear output measures (p.353).
- When effectiveness can be viewed as comprising such varied criteria as flexibility, low turnover and growth, we must seek explanatory variables as varied as what they are asked to account for. Given that many of the proposed measures of effectiveness are uncorrelated or even negatively correlated, we should expect to find general explanations that will distinguish effective from ineffective organizations. Given the complexity and openness of organizations we would not expect any single set of factors to account for organizational effectiveness (p.361).

- Scott suggested that Ouchi's Theory Z and Waterman's In Search of Excellence convey the message that organizational performance is primarily a matter of management effectiveness- of management's capacity to create the right culture and motivational structure. He suggested they overlooked factors such as industrial locations, positioning in markets, alliances, information systems and institutional supports. Effective organizations require more than enthusiastic managers and motivated workers.

**Baile, Kenneth C. (1998). *A Study of Strategic Planning in Federal Organizations*. An unpublished dissertation.**

- Many writers in the area hold that to be successful, the planning and implementation process should have specific elements that reflect the unique nature of the organization and its environment (Eadie, 1989; Koteen, 1991).
- Others argue that the unique characteristics of public organizations demand an approach to strategic planning that allows for bargaining, opportunism and response to dynamic forces in the political environment (Isenberg, 1987; Lindbloom, 1965; Miller, 1989; Mintzberg, 1987; Mintzberg, 1994).
- The reluctance to embrace strategic planning is based on concerns as the following:
  - Planning is driven, usually by the yearly appropriations cycle.
  - There is less control over administrative systems in bureaucracies as compared to businesses.
  - A 'bottom line' does not exist for most public organizations.
  - Measuring progress on many social problems is difficult.
  - Laws and policy established by political authority determine what the public organization does.
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- Political influences have a profound effect on the process and feasibility of achieving specific objectives (Downs, 1996).
- Importing private sector strategic planning into public organizations requires attention to the differences in context in which planning takes place.
- Policies or strategies in public organizations are more ambiguous and more difficult to measure and frequently address broad social issues. In private business strategy development and implementation are primarily confined to participants within the organization and the strategy is for internal use. Strategies in public organizations have significant external input and implementation depends on the cooperation of administrative and political oversight bodies and constituent groups (Campbell & Garnett, 1989).
- William Eldridge argues that cultural distinctions dictate different approaches to strategic planning in business and government and create different expectations for successful implementation of strategic plans
  - Governments have less competition than business.
  - Customer influences is likely to be weaker in government.
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As companies are accountable to stockholders, the federal government is accountable to taxpayers and taxpayers are demanding as never before that the dollars they invest in their government be managed and spent responsibly (GAO, 1996).

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- Ring and Perry (1985) suggest that the following propositions describe the distinction between public and private sector strategic management processes:
  - Policy directives tend to be more ill defined for the public than for private organizations.
  - The relative openness of decision-making creates greater constraints for public executives and managers than for their private sector counterparts.
  - Public sector policy makers are generally subject to more direct and sustained influence from a greater number of interest groups than are executives and managers in the private sector.
  - Public sector management must cope with time constraints that are more artificial than those that confront private sector management.
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  - Public planning is subject to significant public scrutiny and demands for participation that can dilute the focus of strategy.



- Reliable analyses are often difficult and expensive.
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- Funding limitations and the near term perspective make it difficult to justify jobs for strategic planners in public organizations.
- Because most public organizations are labor intensive they depend on personnel systems and policies that often lack the flexibility necessary to support strategic plans.
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  - Multiple and conflicting goals
  - Constraining financial , legal, contractual and organizational practices
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***Q – 8: Organizations are said to be difficult to evaluate; yet some argue that the public nature of government organizations compounds this difficulty. Discuss the contributing factors that make public organizations difficult to evaluate. Cite authors who argue that public organizations are more difficult to evaluate as well as some examples of those arguing the opposite view.***

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**Q – 9: Review the alternative definitions of “strategy” as offered by Mintzberg and point out which of the definitions are more suitable for characterizing strategic planning in the public sector.**

Mintzberg provides five definitions of strategy:

1. Strategy as Plan: ***suitable for public sector***

Some sort of consciously intended course of action, a guideline (or set of guidelines) to deal with a situation. By this definition, strategies have two essential characteristics: they are made in advance of the actions to which they apply, and they are developed consciously and purposefully. Intended or deliberate strategy. As plan, strategy deals with how leaders try to establish direction for organizations, to set them on predetermined courses of action. Strategy as plan also raises the fundamental issue of cognition – how intentions are conceived in the human brain and what intentions really mean.

2. Strategy as Ploy:



A specific maneuver intended to outwit an opponent or competitor. As ploy, strategy takes us into the realm of direct competition, where threats and feints and various other maneuvers are employed to gain advantage.

### 3. Strategy as Pattern: ***suitable for public sector***

A pattern in a stream of actions. By this definition, strategy is consistency in behavior, whether or not intended. Realized or emergent strategy. As pattern, strategy focuses on action, reminding us that the concept is an empty one if it does not take behavior into account. Strategy as pattern also introduces the notion of convergence, the achievement of consistency in an organization's behavior.

### 4. Strategy as Position:

A means of locating an organization in what organization theorists like to call an "environment". By this definition, strategy becomes the mediating force, or match, between organization and environment (the internal and external context). As position, strategy encourages us to look at organizations in their competitive environments – how they find their positions and protect them in order to meet competition, avoid it, or subvert it.

### 5. Strategy as Perspective: ***suitable for public sector***

Content consisting not just of a chosen position, but of an ingrained way of perceiving the world. Strategy in this respect is what personality is to the individual. This definition suggest that strategy is a concept. Implication that all strategies are abstractions which exist only in the minds of interested parties. The perspective is shared by the members of an organization through their intentions and/or by their actions. Entering the realm of the collective mind – individuals united by common thinking and/or behavior. As perspective, strategy raises intriguing questions about intention and behavior in a collective context. If we define organization as collective action in the pursuit of common mission, then strategy as perspective raises the issue of how intentions diffuse through a group of people to become shared as norms and values, and how patterns of behavior become deeply ingrained in the group.

### ***Q – 10: What are the different kinds of strategies according to Mintzberg?***

**Planned Strategy:** precise intentions are formulated and articulated by a central leadership, and backed up by formal controls to ensure their surprise-free

implementation in an environment that is benign, controllable, or predictable (to ensure no distortion of intentions); these strategies are highly deliberate.

**Entrepreneurial Strategy:** intentions exist as the personal, unarticulated vision of a single leader, and so are adaptable to new opportunities; the organization is under the personal control of the leader and located in a protected niche in its environment; these strategies are relatively deliberate but can emerge as well.

**Ideological Strategy:** intentions exist as the collective vision of all the members of the organization, controlled through strong shared norms; the organization is often proactive vis-à-vis its environment; these strategies are rather deliberate.

**Umbrella Strategy:** a leadership in partial control of organizational actions defines strategic targets or boundaries within which others must act; as a result, strategies are partly deliberate (the boundaries) and partly emergent (the patterns within them); this strategy can also be called deliberately emergent, in that the leadership purposefully allows others the flexibility to maneuver and form patterns within the boundaries.

**Process Strategy:** the leadership controls the process aspects of strategy (who gets hired and so gets a chance to influence strategy, what structures they work within, etc.), leaving the actual content of strategy to others; strategies are again partly deliberate (concerning process) and partly emergent (concerning content), and deliberately emergent.

**Disconnected Strategy:** members or subunits loosely coupled to the rest of the organization produce patterns in the streams of their own actions in the absence of, or in direct contradiction to, the central or common intentions of the organization at large; the strategies can be deliberate for those who make them.

**Consensus Strategy:** through mutual adjustment, various members converge on patterns that pervade the organization in the absence of central or common intentions; these strategies are rather emergent in nature.

**Imposed Strategy:** the external environment dictates patterns in actions, either through direct imposition or through implicitly preempting or bounding organizational choice; these strategies are organizationally emergent, although they may be internalized and made deliberate.

**Q – 11: What arguments does he make in the Rise and Fall/The Fall and Rise of Strategic Planning?**

This article presents Professor Mintzberg's warning that strategic thinking is as important as strategic planning; the two are not the same and are mutually exclusive (planning must be systematic and thinking must be creative). Strategic planning involves analysis. Strategic thinking involves synthesis, and synthesis comes from intuition and creativity. Planning can be done on a time schedule but thinking must be "free to appear at any time and at any place in the organization." Mintzberg notes three fallacies of strategic planning: (1.) the fallacy of prediction – while repetitive patterns and seasons do occur, predicting future events is virtually impossible; (2.) the fallacy of detachment – strategy should be made in concert with, not detached from those who really do the work; and (3.) the fallacy of formalization – formal procedures stifle synthesis and creativity. He warns that organizations not go over the formalization edge. Both analytic thinkers and creative thinkers are needed in all organizations to develop strategic decisions.

**Q – 12: Do his arguments hold true for both the public and private sectors?**

This is left to interpretation, but I believe the answer is yes, these arguments hold true for both public and private organizations. Accountability issues may differ between the sectors, but these arguments apply to both.

### Q – 13: Who are the The Big Names in Budgeting.

Brownlow, Louis    1937:    *Committee Report to FDR*

## The president needs help

Caiden, Naomi      1981:      *Public Budgeting Amidst Uncertainty and Instability*

Uncertainty and stress must be taken into account in budgeting.

Cleveland, Frederick A. Evolution of the Budget Idea in the United States  
1918: (pp. 7-23 in Government Budgeting by Hyde)

This article was the justification of the Taft

commission which led to executive budgeting.

Forrester, John P. 2001:	<ul style="list-style-type: none"><li>• Public Choice Theory and Public Budgeting: Implications for the Greedy Bureaucrat (pp. 101-116 in <i>Evolving Theories of Budgeting</i>, John R. Bartle, ed.)</li><li>• Public choice theory says self interest and the free market, explain why people (including bureaucrats) make the decisions they do. Public budgeting is different but public budgeting can learn from public choice theory.</li></ul>
Gulick, Luther 1937:	<p>POSDCORB</p> <p>Planning, organizing, staffing, directing, coordinating, reporting, budgeting</p>
Harding, Warren G. 1921:	<p>signed The Budget and Accounting Act</p> <p>Created the Bureau of the Budget, GAO, and executive budgeting</p> <p>Focused on accountability and control</p> <p>Line item budgeting</p>
Key, V.O. 1940:	<p>The Lack of a Budgetary Theory</p> <p>“On what basis shall it be decided to allocate x dollars to activity A instead of Activity B?”</p> <p>Budgeting is “applied economics”---allocating scarce resources</p> <p>The budget must reflect the public’s interest</p>

Keynes, John Maynard

1936:

The General Theory of Employment, Interest and Money

Keynesian Theory: fiscal policy (government spending

& taxing policies) can, and should be used to influence the economy

Lewis, Verne 1952:

Toward a Theory of Budgeting (see p. 29, Hyde)

He is a rationalist---but in the end concludes that Key's questions is unanswerable

He said "for x level of funding, y level of service can be provided"

Doctrine of Public Utility---marginal utility; diminishing return (i.e., battleships of poor relief)

The cost of a thing is the amount of other things we must give up for its sake.

We must make choices---i.e., 4 or 5 tires for a car, but not 6.

Lindblom, Charles 1959:

The Science of Muddling Through

Osborne, David and Gaebler, Ted 1992:

Reinventing Government, How the Entrepreneurial Spirit is Transforming the Public Sector Led to Government Performance and Results Act and National Performance Review---1993

Ostrum, Vincent 1974:

The Intellectual Crisis in American Public Administration

He supported public choice theories

Rubin, Irene	1990:	<p>Budget Theory and Budget Practice: How Good the Fit? (see p. 77, Hyde)</p> <p>No single theory explains budgeting---they are fragmented and incomplete</p> <p>Budgeting is complex</p> <p>Neo-Marxist, public choice, incrementalism</p> <p>Rational (to maximize return), non-rational, now combination</p>
Schick, Allen	1966:	<p>The Road to PPB: The Stages of Budget Reform (see p. 52, Hyde)</p> <p>A classic---it traced the evolutionary cycle of budgeting reform from line item/strict expenditure control to performance budget/management – work efficiency</p>
Taft, William Howard	1912:	<p>Taft Commission presented The Need for a National Budget</p> <p>Led to Budget and Accounting Act of 1921</p>
Wildavsky, Aaron	1964/84:	<p>The Politics of the Budgeting Process</p> <p>The best expression of Incrementalism---a descriptive theory of budgeting</p> <p>Budgeting is political --- Congressional influence is very important</p> <p>Budget reform is political system reform</p> <p>A normative theory of budgeting is possible but very difficult</p> <p>Redistribution is behind all budget decisions</p>

His later writings were less incrementalism-oriented

Rescuing Policy Analysis from PPBS

1969: No one knows how to do PPBS

Willoughby, William F. 1918: The Movement for Budgetary Reform in the States  
(see p. 20 in Hyde)

The public should be involved in the budget process

Part of the Progressive movement in the early 1900's

**Q – 14: What are the possible limits of quantitative policy analysis? Can qualitative analysis help the policy analyst to overcome all of them.**

Research in the social sciences uses several different methods to answer questions. The experimental method is used with the quantification of data, the process of converting data to a numerical format (Babbie, 396) and used in evaluation research. Another method is quasi-experimental – non-rigorous inquiries somewhat resembling controlled experiments but lacking key elements such as pre-and post-testing and/or control groups (Babbie, 349). The third type of method is the qualitative evaluation

Babbie: Although quantification makes observations more explicit, it has the disadvantage of potential loss in richness of meaning. More aligned with nomothetic explanation (settles for partial versus full explanation – seek to identify few causal factors that generally impact a class of conditions or events). Qualitative (purely verbal) has disadvantage of ambiguity. Aligned more with idiographic explanation (seek to exhaust idiosyncratic causes of a particular condition or event).

Bailey: Limits of quantitative research are such that the social scientist risks producing reliable but insignificant “so what” results. Strict control of variables to alleviate interpretive variances could eliminate possibility for theory building. Kuhn says that the accumulation of anomalies leads to identification of new scientific paradigms.

Rossmann and Wilson (1985): Utilizing both quantitative and qualitative data allows triangulation which improves the accuracy of conclusions by relying on data from

more than one method. Corroboration (seeks convergence in findings) and elaboration (provides richness of detail). Holistic triangulation may also uncover paradox and contradiction (initiation).

Since quantitative analysis relies on numbers or being able to convert data to an ordinal scale, it is sometimes unrealistic. Numbers are not always available.

The paradigmatic stance helps determine the best form of analysis.

Mixed-method approach is safest. Consider deductive versus inductive.

### ***Yin***

- case study allows investigators to retain the holistic and meaningful characteristics of real life events;

### ***White/Adams***

- technical rationality exhibits a faith in the power of science and technology to liberate us; blind to detrimental effects of relying solely on quantification; belief that research is rigorous and objective;
- quantitative assumes human action is to be explained through the development of general laws and models independent of time and space; no need to include history and culture to account for human behavior

### ***Box***

- qualitative methodologies as alternative theoretical approaches in contrast to positivism
- cited C. Wright Mills (1959) extremist positivist position – abstracted empiricism
- reality may consist of a complex mixture of perception, measurable phenomena, interpretation, and assessment of the pragmatic usefulness of theory for practice instead of solely the ability to measure phenomena quantitatively
- advocates a particular view of knowledge



## **Dunn**

- Problem solving is the key element of the methodology of policy analysis
- Policy analysis is partly descriptive and also normative in the aim of creation and critique of knowledge claims about the values of policies
- Complexity – critical multiplism; triangulation
- Multiplism has advantage over rivals: “Approximating the ultimately unknowable truth though the use of processes that critically triangulate from a variety of perspectives on what is worth knowing and what is known” (p.6)
- problem structuring is embedded in a political process where the definition of alternatives is the supreme instrument of power

## **Bednarz**

- Quantitative and qualitative approaches can not be synthesized because they occupy alternative rather than complementary philosophical spaces
- Many researchers trained in quasi-experimental methods and multivariate analysis find it difficult to grasp the so-called qualitative and qualitative methods did not spring from the same epistemological ground
- Qualitative knowing underlies all quantitative knowing
- Qualitative knowledge provides the context necessary for the interpretation of quantitative data
- Quantitative scientists can be questioned for ignoring qualitative dimensions underlying aggregate statistics and data

## Dr. Linda Mayoux “Qualitative Methods”:

Qualitative methods contrast with quantitative methods in a number of important respects which they share with participatory methods. They are:

- **holistic** ie development is seen as an interconnected process with many different dimensions. A key focus of investigation is not on the different dimensions in isolation e.g. separating out economic and social impacts, but understanding the interlinkages and tensions between them. Whereas quantitative methods seek to separate and simplify indicators and impact processes in order to measure them, qualitative methods seek to understand the complexity as a more accurate reflection of reality.

- *based on **recognition of multiple realities*** where reality is seen as inherently subjective. The focus is on understanding different perceptions, aspirations and interests and how these influence accounts of ' facts ' and events rather than attempting to reduce them to one version of reality. For example women and men may have different accounts of levels of income and/or roles in household decision-making. Different stakeholders may have different perceptions of power relations within organizations. Qualitative methods treat these differences as interesting in themselves as indicators of relative power and as possible explanatory factors in differential impacts of development interventions.
- ***heuristic, interpretative and inductive*** ie qualitative research evolves rather than restricts itself to predetermined questions or hypotheses. Any assessment starts with an intensive familiarisation with the context, institutions and policies to be assessed and progressively builds up a comprehensive understanding of the processes involved. Because of the emphasis on understanding complexity the scope and focus of the research are continually redefined as understanding of different parts of the process increases and new issues arise.
- ***requires in-depth face-to-face field work.*** Because of the need to relate all these different dimensions together in the cumulative understanding of a particular context, it is more difficult to delegate or divide up different parts of the qualitative investigation between different people. Skilled (and hence more expensive) researchers typically spend long periods in the field rather than delegating field research and questionnaires to less-skilled enumerators, although in the field they may closely supervise local researchers to collect less difficult information.

***In the above respects qualitative methods are broadly similar to participatory methods. However qualitative methods also contrast with participatory methods in a number of important respects:***

- ***central role of the outside researcher*** in design, research and analysis. Although there is the focus on multiple realities, the ways in which these are investigated and the analysis of their significance lies largely with the

researcher rather than being an open-ended process to be determined by participants.

- there is a ***focus on information from individuals***: although qualitative methods may be used to compile case studies or observe groups and communities, there is much more of an emphasis on individual information. This makes it possible to ask much more sensitive probing questions which people would not like to answer in a public forum.
- the investigation ***records what is happening rather than seeking to influence events***: a key difference between qualitative and participatory methods is that qualitative methods seek to understand current events rather than intervening to change future events. Although recording individual accounts may aim to empower people and influence policy through making them more visible, there is no attempt to integrate qualitative research with empowerment and policy development. This may make the data more reliable in some respects as people are less liable to manipulate information in expectation of beneficial outcomes or fear of unwanted consequences. ]

## **CONTRIBUTIONS OF QUALITATIVE RESEARCH**

Because of these distinctive principles and characteristics, qualitative methods are useful compliments to quantitative and participatory methods in order to:

### ***Increase understanding of WHAT is happening.***

- Qualitative methods are useful in informing the ***selection of criteria and indicators***, highlighting any limitations or complexities and hence assisting in their interpretation.
- Qualitative methods are also often necessary to investigate more ***complex and sensitive impacts*** which are not so easy to quantify or where quantification would be extremely time-consuming and costly. They are also used to investigate more sensitive issues which cannot be easily aired in the public forum of participatory methods.

### ***Contribute to understanding of WHO is affected in which ways.***

- Qualitative methods highlight the voices of those who are most disadvantaged in ways which might be difficult to the public and consensual nature of

participatory methods or missed in the process of aggregation of quantitative methods.

- Qualitative methods can also be used for probing of **key informants** to further investigate issues of diversity and conflict.

**Analyse WHY particular impacts are occurring.**

- Qualitative methods enable more probing investigation of **contexts and development processes** and the complex interactions between contexts, grassroots aspirations and strategies, institutional structures and enterprise interventions.

**Assessing HOW POLICY CAN BE IMPROVED.**

- Qualitative methods are likely to be necessary in investigating more complex and sensitive issues essential to understanding the feasibility of proposals from participatory workshops.

**Q – 15: What are the requisites necessary for researchers to conclude that a causal relationship exists? Why is this the case?**

The three main criteria for causal relationships in social research are 1) variables must be correlated – there is an actual relationship, 2) the cause takes place before the effect – time order, and 3) the variables are non-spurious – there is not a third variable effecting the relationship (Babbie, 90). Note these definitions:

Correlation – An empirical relationship between two variables such that 1) changes in one are associated with changes in the other or 2) particular attributes of one variable are associated with particular attributes of the other. Correlation in and of itself does not constitute a causal relationship between the two variables, but is one criterion of causality (Babbie, 90).

Time order – We can't say a causal relationship exists unless the cause precedes the effect in time (Babbie, 90).

An alternate answer: there are four criteria to conclude that a causal relationship exists. The criteria are 1) time order – If A is the cause of B, then A must precede B in time. Also, Changes in A must occur before changes in B. So, cause must precede effect. 2) Covariation – means that the two variables move or vary together. If A

changes and B also changes, this covariation provides some evidence that A is the cause of B. If changes in A are never accompanied by changes in B, then A cannot be the cause of B. 3) Non-spuriousness – a relationship is an association between two variables that cannot be explained by a third factor. 4) Theory – Not only must the conditions of time order, covariation, and non-spuriousness be satisfied, but also a theoretical or substantive justification or explanation for the relationship must be provided. Theory interprets the observed covariation; it addresses the issue of how and why the relationship occurs (Meir, K. J. & Brudney, J.L., 32-34).

Must use experimental method. Why? To determine causal versus mere correlation (no direction).

Bednarz

- Causal knowledge about society is currently limited to the tentative partial and probabilistic realm (Cook & Campbell)
- Complexity of causal interconnections of the social world are prohibitive

### **Causation and Correlation**

The ability to determine causal connections in the world is important. What connects the cause and the effect is invisible to us (Hume).<sup>1</sup> But we can take notice of correlations and from these sometimes draw conclusions about causal relationships. Not all correlations exist because there is a causal relationship.

### **Correlations**

Statements of correlation express a relation between two properties (the values of variables) within a single population.

	Smokers	Non-smokers
American males	51	49
American females	34	66

From this data we assert that 51% of American males smoke and 34% of American females smoke. The property of being an American male is positively correlated with the property of being a smoker, and the property of being an American female is negatively correlated with being a smoker. The population here is adult Americans and we are comparing two variables: smoking and gender; each variable has two values.

A is positively correlated with B if and only if the percentage of As among Bs is greater than the percentage of As among non-Bs.

A is negatively correlated with B if and only if the percentage of As among Bs is less than the percentage of As among non-Bs.

A is not correlated with B is the percentage of As among Bs is the same as the percentage of As among non-Bs.

### **Judging correlations**

#### **Attentional bias in judging correlations:**

Nurses were asked to view 100 cards with patient information on them and then judge whether there was a relationship or connection between a particular symptom and a particular disease. Each card indicated whether the symptom was present or absent and whether the disease was present or absent. (Smedslund, 1963)

Here is the incidence of symptom and disease for 100 patients.

	Disease	No disease
Symptom	37	33
No symptom	17	13

Results:

There is no correlation here though 85% of the nurses thought there was a positive correlation between the symptom and the disease. The present/present cell was the best predictor of the subject's judgments; a high figure in that cell prompted a positive judgment.

Notice that for both the symptom group and the non-symptom group about as many have the disease as don't have the disease (slightly more have it than don't have it for both groups; 37-33 with symptom, 17-13 without symptom). Whether you have the disease or not, about twice as many have the symptom as don't have it.

Subjects are inclined to look only at select cells for pertinent information.

Another example: Does God answer prayers? Many say yes because many time prayers were successful. But what about the other cells?

Another example:

Subjects were asked whether Mr. Maxwell, a fictional person they were asked to imagine that they met at a party, was a professor. They were told he was either a professor or an executive, and that he belonged to the Bear's Club. Subjects were then asked what additional information they would like to have to make their judgment. For example, what percentage of professors at the party are members of the Bear Club, or what percentage of executives at the party were members of the Bear Club? 89% of the subjects wanted the first piece of information, but only 54% wanted the second piece, even though both pieces are relevant. (Also relevant is the information regarding the percentage of professors at the party.)

### **The effects of prior belief in judging correlations:**

Clinical psychologists sometimes use Draw-a-person tests by which the patients are thought to project aspects of their personalities into the drawings. Big eyes might indicate the patient is suspicious of others or paranoid; big shoulders might indicate a preoccupation with manliness.

Studies have shown these tests to be useless as indicators of personality traits. But in studies in which pictures and trait-labels are associated in ways that reflect no

correlations, untrained subjects still claim to "discover" that certain traits are correlated with certain aspects of the drawings. Even professionals maintain confidence in them after learning of their inefficacy. Similar results apply to Rorschach tests. Quote: "I know paranoids don't seem to draw big eyes in the research lab, but they do in my office." (Chapman and Chapman, 1967, 1969)

Prior belief can increase attentional bias:

Subjects are told of an experiment in which boarding school children are given certain combinations of food to see whether they affect the likelihood of getting a cold. Before seeing the data the subjects are asked to formulate their own hypotheses. Once shown the data, their interpretations are clearly influenced by their own hypotheses. Even though the data reflect no correlations, subjects who hypothesized beforehand that the type of water (bottled or tap) might be relevant to getting a cold also said they saw such a correlation exemplified in the data. Subjects who, for example, hypothesized that the type of mustard would cause colds would look to the mustard/cold data and ignore the mustard/no cold data.

Causal relationships:

A causal generalization, e.g., that smoking causes lung cancer, is not about an particular smoker but states a special relationship exists between the property of smoking and the property of getting lung cancer. As a causal statement, this says more than that there is a correlation between the two properties.

Some causal conditions are necessary conditions: the presence of oxygen is a necessary condition for combustion; in the absence of oxygen there is no combustion. "Cause" is often used in this sense when the elimination of the cause is sought to eliminate the effect (what's causing the pain?)

Some causal conditions are sufficient conditions: the presence of a sufficient condition the effect must occur (being in temperature range R in the presence of oxygen is sufficient for combustion of many substances. "Cause" is often used in this sense when we seek to produce the effect (What causes this metal to be so strong?)



Looking for special circumstances: what was the cause of the fire? Oxygen? or an arsonist's match?

Causes are sometimes said to be INUS conditions in that they are Insufficient but Necessary parts of an Unnecessary but Sufficient set of conditions for the effect. Striking a match may be said to be a cause of its lighting. Suppose there is some set of conditions that is sufficient for a match's lighting. This might include the presence of oxygen, the appropriate chemicals in the matchhead and the striking. The striking can be said to be a necessary part of this set (though insufficient by itself) because without the striking among those other conditions the match would not have lit. But the set itself, though sufficient, is not necessary because other sets of conditions could have produced the lighting of the match.

### **How are causal relationships different from correlations?**

1. A statement about a correlation is symmetrical while a statement about a causal relationship is asymmetrical. If being a male is positively correlated with being a smoker, being a smoker is also positively correlated with being male. But if smoking causes lung cancer it needn't be the case that lung cancer causes smoking.
2. Correlations are about actual populations and are not lawlike. Causal relationships are lawlike in the sense that they are about hypothetical populations as well as actual populations. When A is said to be the cause of B we are saying that were there an increase in the incidence of A there would be an increase in the incidence of B; or if A cases were to diminish, B cases would diminish, too. (If fewer people smoked, there would be less lung cancer.) Mere correlations pertain only to actual populations. If National League success in the Super Bowl is merely correlated with stock market decline, then we should not expect changes in the stock market to affect the outcome of the Super Bowl (or vice versa).

How can one form judgments about causal relationships based on statements about correlations?

For example, there is a strong positive correlation between an increase in the number of sex education classes and an increase in the rate of gonorrhea. Suppose we

conclude that increasing the number of sex education classes has caused the increase in the gonorrhea rate.

(A) Is the statistical premise (the statement about the correlation) true or well founded?

(B) What alternative explanations are available?

1. The correlation might be accidental or coincidental. Increase in the national debt is positively correlated with an increase in the gonorrhea rate, but there is no causal connection.
2. The relation might be spurious, both an increase in the number of sex education classes and an increase in the rate of gonorrhea being the effects of the same cause.
3. The causal direction might be the reverse. Could the increase in the gonorrhea rate be causally responsible for the perceived need for more sex education classes?
4. The causal relation might have been more complex than the conclusion suggests. The increase in sex education classes might have caused a change in attitudes about sex, which led to an increase in sexual activity, which led to an increase in the gonorrhea rate.
5. The causal relation cited might be insignificant relative to other factors responsible for the increase in the gonorrhea rate.

**Is a causal relationship suggested in the cases below?**

At one time there was a strong positive correlation between the number of mules in the state and the salaries paid to professors (the more mules the lower the salaries).

There is a strong positive correlation between the number of fire trucks in a borough of NYC and the number of fires that occur there.

There is a strong positive correlation between foot size and hand writing quality.

There is a strong negative correlation between the number of forward passes thrown in a football game and winning the game.

Heavy coffee consumption is positively correlated with heart attacks.

Going to the hospital is positively correlated with dying.

An increase in the number of hours kids watch TV positively correlates with decrease in SAT scores.

Marijuana use is negatively correlated with high GPAs.

Another example:

"[W]hile half the country's communities have fluoridated water supplies and half do not, ninety percent of AIDS cases are coming from fluoridated areas and only ten percent are coming from nonfluoridated areas."

Any connection?

1. Communities aren't all the same size: fluoridated communities (likely to be big cities) might contain much more than half the population.
2. The relationship might be spurious: cosmopolitan/progressive attitudes might encourage both fluoridation and lifestyles associated with AIDS

Another example:

Is there a causal relationship between class attendance and grades achieved?

"Students with the lowest attendance earned the poorest grades. Those who attended 79 percent of the classes or less ended up in the low C range; 90 percent and above scored above a B average. Student who sat up front got 'significantly higher grades,' but Walsh [the researcher] thinks they could be more interested in the subjects."

**John Stuart Mill, A System of Logic, 1843**

**A is not a sufficient condition for B if A occurs without B.**

**A is not a necessary condition for B if B occurs without A.**

### **The Direct Method of Agreement**

Find a causal connection between an effect and a necessary condition

Which factor is always present when the effect is present?

If among the residents of a dormitory there is a rash of stomach upsets, we would likely look for one food item that all the patients ate as the cause.

1. The conclusion applies only to the occurrences considered.
2. Only probable: other important conditions might have been overlooked; it might have been a combination of factors

### **The Inverse Method of Agreement**

Find a causal connection between an effect and a sufficient condition

Which factor is always absent when the occurrences of the effect are absent?

Five factory workers are found to be inefficient relative to others who are doing the same work. The efficient workers and the inefficient workers were found to be similar in all relevant ways except one: the inefficient were not part of a profit sharing plan. Conclusion: profit sharing causes efficiency.

1. The conclusion applies only to the occurrences considered.
2. Only probable: other important conditions might have been overlooked; it might have been a combination of factors

### **The Double Method of Agreement**

Find a cause that is both a necessary and a sufficient condition

Which factor is always present when the effect is present?

Which factor is always absent when the occurrences of the effect are absent?

Eight patients have a disease and each was given some remedy or other. Four patients who are given serum S are cured. Of those who are cured no other single remedy was given to all. Of the four who were not cured, every patient was given at least one of the remedies (but none the serum S). Serum S judged to be the cure.

1. The conclusion applies only to the occurrences considered.
2. Only probable: other important conditions might have been overlooked; it might have been a combination of factors

### **The Method of Difference**

Identify a sufficient condition among possible candidates in a specific occurrence

The factor is the only one that is present when phenomenon is present and absent when the phenomenon is absent.

Two identical white mice in a controlled experiment were given identical amounts of four different foods. In addition, one of the mice was fed a certain drug. A short time later the mouse that was fed the drug became nervous and agitated. The researchers concluded that the drug caused the nervousness.

1. Less general conclusion than the inverse method of difference, which applies to all occurrences listed

### **The Joint Method of Agreement and Difference**

Identify a necessary and sufficient condition that is present in a specific occurrence.

Use the direct method of agreement to isolate necessary conditions (if no factor, no effect) and the method of difference to isolate those that are also sufficient.

1. Less general conclusion than the double method of agreement, which applies to all occurrence listed;

George, who exercised regularly, took vitamins, and got plenty of rest, contracted a rare disease. Doctors administered an antibiotic and the disease cleared up. convinced that the cure was caused by either the exercise, the rest, or the antibiotic, the doctors searched for analogous cases. Of the two that were found, one got no exercise, took no vitamins, and got little rest. He was given the same antibiotic and was cured. The other person, who did the same things George did, was given no antibiotic and was not cured. The doctors concluded that George was cured by the antibiotic.

### **Method of Residues**

"Separate from a group of causally connected conditions and phenomena those strands of causal connection that are already known, leaving the required causal connection as the 'residue'."

### **Method of Concomitant Variation**

Match variations in one condition with variations in another.

***Q – 17: What type of research design is most likely to enable a researcher to conclude that a causal relationship exists? Why is this the case?***

Must use experimental method. Why? To determine causal versus mere correlation (no direction). In an experimental design, the researcher can manipulate the independent variables.

In an experimental research study, if the researcher finds a statistically significant difference between two or more of the groups representing different treatment conditions, he can have some confidence in attributing causality to the IV. In non-experimental research, the researcher has no control over the levels of the IVs (Mertler & Vannatta, p. 2).

- ***How do you distinguish between internal and external validity?***

Internal validity – process used to test criteria is valid (Babbie) – met by Pearson Correlation

External validity – generalizability (Babbie) – F test tells

Also important to make certain have construct validity and reliability

Triangulation critical

Lack of internal validity refers to the possibility that the conclusions drawn from experimental results may not accurately reflect what went on in the experiment itself. External validity is the process of testing the validity of a measure by examining its relationship to other presumed indicators of the same variable (Babbie).

- ***Propose an experimental research design that can be utilized by public administration analysts. In that experimental design you are to specify:***

\* See Dr. Stanley's research designs on per pupil spending as examples. Babbie, Chapter 8 good review also.

- ***The nature of the problem that you wish to explore and why it is amenable to research through an experimental design.***
- ***What is the major hypothesis that you would test; how would you operationalize the independent and dependent variables?***

Show prediction/states direction or explains past/best to state hypothesis in null (showing no direction or relationship) so can disprove/verify falsifiability of theory (Sir Karl Popper says the scientific status of a theory is determined by its falsifiability, refutability, or testability). Best to keep to 1 DV and 1 IV /variables must be measurable.

Operationalize – how collect data to measure/where find data

Conceptualize – what are you measuring/how define what measuring

“Students who participate in the A+ reading program will have similar student achievement levels as students who do not participate in the A+ reading program.”

R	O <sub>Pre-Test</sub>	X	O <sub>Post-Test</sub>	Comparison
Experimental Group	O <sub>E1</sub>	X <sub>Reading</sub>	O <sub>E2</sub>	O <sub>E2</sub> – O <sub>E1</sub>
Control Group	O <sub>C1</sub>		O <sub>C2</sub>	O <sub>C2</sub> - O <sub>C1</sub>

Must determine unit of analysis – determined by way research questions framed. Here, the student is the unit of analysis.

X = achievement level

Y = A+ reading program

- ***How would you set up the experiment?***

Experimental group and control group with pretest and post-test data.

Case studies (research strategy) are preferred strategy when how or why questions are being posed and focus is on contemporary phenomenon within real-life context. 3 types of research questions posed are 1.) what – exploratory 2.) who and where – descriptive 3.) how and why – explanatory. Unfortunately, case studies have low generalizability/poor external validity. Can be both quantitative and qualitative. Case study design must concern construct validity (studying what intended), internal validity (nonspuriousness), external validity (generalizability), and reliability (replicability). Multiple case study designs are preferred over single case designs because of the possibility of direct replication. A pilot case study is helpful to see if worthy of study.

Use linear-analytic structure in report – sequence begins with issue being studied and a lit review followed by methods used, findings, and conclusions/implications (Yin).

- ***How would you collect the data?***

TCAP Test – reading test conduct pre- and post-

Snowball sampling best method for data collection (ask ?/answers → other ?s)

Population sample (ideal b/c removes chance of bias or flaws) vs. random sample (pick every kth number – no weighting necessary when all cases have same chance of selection – weighting should not be used since element of subjectivity)

May use Likert Scale (assign scores to patterns of responses): Strongly Agree...Strongly Disagree (this is ordinal level)

Standardized coding scheme of ratios and % best since will not skew data – more representative of reality (aggregate coding schemes of total #s possibly skew data)

Time series model very thorough but difficult to find consistent data

Mixed-method approach most comprehensive

Documentation, archival records, interviews, direct observations, participant observation, physical artifacts



- ***How would you know that the data support or do not support the hypothesis?***

One Way ANOVA test – can only look for correlation – can't look for causality.

Z and p scores tell whether data support the hypothesis. If z is between -1.96 and +1.96, then safe. Outside of this range is the danger area. The p score tells the amount of mistake you made (95% acceptance is good).

- ***How would your design control specifically for threats to internal and external validity?***

Employ triangulation in data collection and measurement – addresses issue of construct validity. This checks internal validity by using multiple methodologies for collection and external validity by using multiple methodologies for measurement.

There are 9 threats to validity (see handout), so must use many control variables such as teachers, rural vs. metro, school funding, etc...

Must also use random selection of control group and experimental group.

**Q – 18: *Why is it very difficult to utilize experimental designs in the social sciences?***

There are a number of problems using experimental designs in the social sciences. The social sciences often do not lend themselves to the controlled elements of the experimental design. The controlling factors of the experimental design work very well in a laboratory setting, but not so well in real-life settings. Thus, one can question how closely the situation simulated in the laboratory resembles the processes of everyday life. Both internal and external validity is challenged with experimental design. In particular, three threats to internal validity are present: maturation, reactivity, and history, and often others as there are twelve threats. External validity of experimental designs of research is threatened by the sample of subjects upon which the findings are based. Because of ethical and financial considerations, experiments conducted on a random sample of individuals drawn from a well-defined population have been rare. Funding authorities tend to take a dim view of experimentation on human subjects and frown on the use of deception, which may be employed in order to make an experimental setting seem more realistic to participants. Also, the cost and practical problems of conducting an experiment on a random

sample of subjects can be prohibitive. In short, the experimental design threatens internal and external validity, is often cost prohibitive, and existing in a laboratory conditions may not resemble life in “real” settings.

### **Issues of control**

Babbie:

Ethical constraints (informed consent, right to privacy/protection of identity, participation should be voluntary and bring no harm to subject – coupled with obligation for analysis and reporting to scientific community).

Political constraints – difficult to remain objective/intersubjectivity achieves equivalent of objectivity for science/science should be unencumbered by personal values

### **Karen Payton**

Ohio State University

*This article addresses the strategies and tools that public administration scholars use to understand phenomena of interest. The range of qualitative methods used has been limited, and the kind of rigor generally associated with quantitative methods has largely been absent in the application of their qualitative counterparts. Two conclusions are drawn from an analysis of articles published in two respected journals: Training on research methods in Ph.D. and M.P.A. programs should be expanded to include a broader range of strategies and tools, and the rigorous use of a broader range of research tools promises to better position the field of public administration to identify, examine, and answer the many big questions that it now faces.*

**Key Words:** qualitative research methods • empirical research • truth claims

Q – 19: ***What are the elements of the classical experimental design?***

The elements of the classical experimental design are:

- a. Randomization (R) – each subject or case has an equal chance of being assigned to the experimental group or to the control group (random sampling)
- b. Observation or Measurement 1 (pretest)

- c. Administration of the experimental treatment to the experimental group, but not the control group.
- d. Observation or Measurement 2 (Posttest)
- e. Compare the measurement of the two groups

#### Classical Experimental Design

Group	Randomization	Observation 1	Treatment	Observation 2
Comparison				
Experimental	$R_e$	$O_{e1}$	X	$O_{e2}$
$O_{e2} - O_{e1}$				
Control	$R_c$	$O_{c1}$		$O_{c2}$
$O_{c2} - O_{c1}$				

- Step 1 Assign subjects to two or more groups, with at least one “experimental” and one “control,” so that the groups are as comparable as possible. The best way to assemble comparable groups is through random assignment of subjects to groups.
- Step 2 Measure all subjects on relevant variables. Although a pre-experiment measurement or pretest is usually administered, some experimental designs do not require a pretest.
- Step 3 Expose the experimental group(s) to a treatment or stimulus, the independent variable. Ensure that the other control group(s) is not exposed. Exposure to the treatment should constitute the only difference between the groups.
- Step 4 Measure the groups again on the requisite variables in the postexperiment groups.
- Step 5 Compare the measurements of the groups. If the independent variable does lead to changes in the dependent variable, this result should be evident in pretest-posttest comparisons between the experimental and control groups. Or, if the groups are large and known to be equivalent through random assignment, the analyst can simply compare posttest scores between the two groups. If the causal inference is valid, these comparisons should bear out predicted differences between the experimental and control groups.

Use X (Experimental Group) and O (Control Group)

Pretest (prior to program start), then lead intervention for a time period, then post-test

Many threats to validity exist

Q – 20: ***As a distinguished graduate of TSU's Ph.D. program, the Tennessee Legislature has contracted out your services to measure the “financial impacts of per pupil spending on student achievement” in Tennessee, compared to other American states. In order to determine the associated costs of this study, the legislative sub-committee on Education Finance in Tennessee has asked you to prepare a proposal for this research project. Construct a research design that would adequately measure the previously stated phenomenon and the costs associated with such a study. Your research proposal should include the following components:***

***a. Literature Review – What is the generic public administration literature to which you would refer in this consulting assignment?***

The dependent variable in this study is student achievement; therefore, I would focus my literature review on this topic. There is a large body of literature on this particular topic as with most topics related to education. I would examine the literature in ERIC, education finance journals, U.S. Census Bureau, U.S. Department of Education, and NCES (National Center for Education Statistics). Also, public administration literature on public finance would provide some good references for school funding and budgeting.

Use refereed and top-tier journals.

***b. Hypotheses – a section containing the hypotheses tested in the manuscript (written as null hypotheses). Provide three hypotheses minimum.***

Three likely hypotheses, using “states” as the unit of analysis are:

- States with higher than average per pupil spending will have similar student achievement results as states with lower than average per pupil spending.

- The average per pupil spending of the states in the Southeast will have similar student achievement results as the average per pupil spending of the states in the Northeast.
- States with similar state demographics as Tennessee, but higher per pupil spending will have similar student achievement as Tennessee.

**c. *Data – Conceptual definitions: What variables are you going to use in the manuscript and why?***

- Student Achievement – as determined by the standards of No Child Left Behind for 2004, which is standard for all states. (Interval Scale)
- Per Pupil Spending – As determined by the formula used by each state. (Interval scale)
- State Demographics (H<sub>03</sub>) – Race, Gross State Product, No. Living in Poverty, Political Affiliation, etc. (some nominal, ordinal, interval scales)

**d. *Operational definitions: Where you are going to collect the data you plan to use in your manuscript.***

Data collection of the variables will be from the following sources:

- Student Achievement – National Center of Education Statistics, 2004
- Per Pupil Spending – Education Weekly, or U.S. Census Bureau
- State Demographics – U.S. Census Bureau, 2004.

**e. *Research Methods – The statistical methods you could use to test the data and why you believe this technique is the most appropriate for your manuscript.***

Determining correlation, not causality so use ANOVA.

**f. *Anticipated Findings – The anticipated findings of your study.***

Anticipate rejecting all three null hypotheses which in essence states that states with higher per pupil spending will have higher student achievement results than states with lower per pupil spending, regardless of demographics.

**g. *Limitations – The anticipated limits of your study.***

The method to compute per pupil spending is different in many states. Therefore, the analysis will be adversely affected. External validity, that is generalizability, may suffer as a result of the different methods to compute per pupil spending. Also, the demographic data may be used to establish comparable states (null hypothesis 3) in a demographic sense, but state policies related to education and education funding may be different. Totally comparable states would have similar demographics and education policies.

**h. *Conclusion – The anticipated policy implications of the research and the anticipated costs of the study.***

Policy implications should be evident, that is, states concerned with student achievement will have to spend comparable per pupil spending amounts as other similar states with higher student achievement. In short, higher per pupil spending equals higher levels of student achievement. A related policy is to determine a new, more equitable means of computing per pupil spending.