

Administrative Patterns of Policy-Making

—

A Theoretical Concept

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22. - 23.02.2018

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1. Introduction

PhD-Project:

„Financial Regulation and the Implementation of EU directives in the European Union member states”

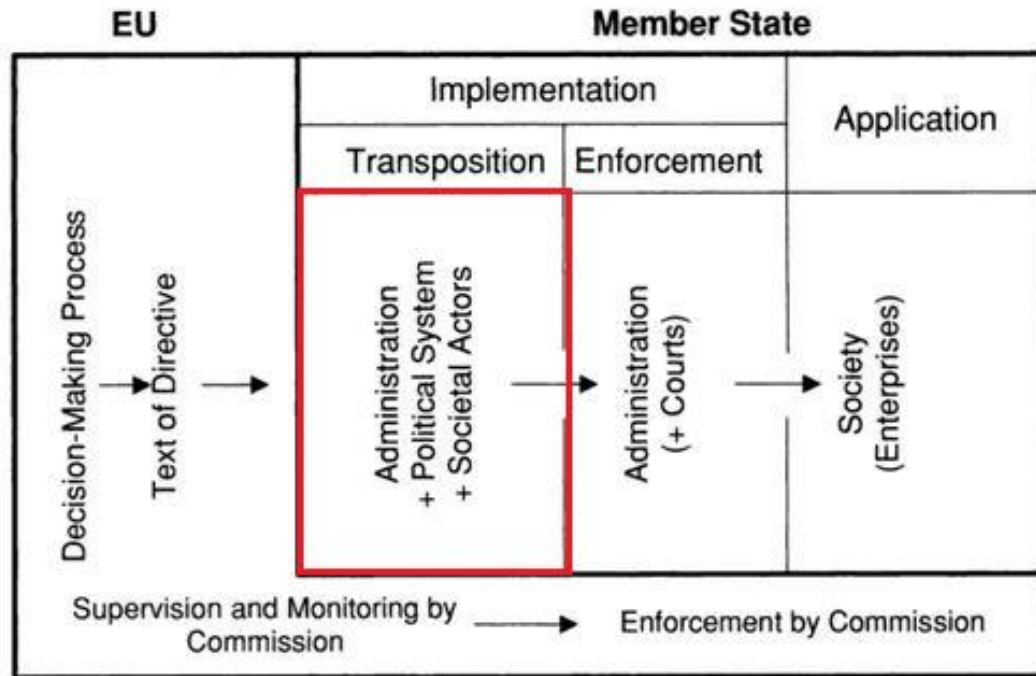
» Research Question:

- › How do administrative patterns of policy-making affect the transposition of EU directives within the ministerial departments of the EU Member States?

» Key Assumption:

- › The different administrative patterns of policy-making affect the way EU directives are transposed at the Member State level with regard to the directive’s leeway?

2. Theory



(Source: Falkner et al.: 2005:6)

- » Decisive steps of the EU directives' transposition process take place within the ministerial departments
- » Previous research reveals the importance of administrative explanations for the implementation of EU law
 - › Capacity, experience, organization structures
 - › Routines/standard operating procedures

How does the transposition process within ministerial departments look like and how do administrative factors affect the transposition of EU directives?

→ **Need for appropriate theoretical concept**

2. Theory

- » Theoretical background:
- » Main Idea:
 - › Public administrations are characterized by different institutional settings
 - › Institutional settings can explain differences in the transposition of EU directives
- » Public organizational theory:
 - › Theories about the formal structures, rules and norms of public administration
 - Formal bureaucratic structures have an independent effect actors' decision-making behavior
 - How do the organizational structures of the government bureaucracy affect the policy-making process and its outputs?
 - › Theories emphasizing an institutional perspective
 - Institutions: Structural features (*formal* or *informal*) that affect the behaviour of actors

2. Theory

- » Theoretical Approach: Policy Capacity Concept (Howlett/Ramesh 2015, Wu et al. 2015)

Policy capacity: skills and resources.

Levels of resources and capabilities	Skills and competences		
	Analytical	Operational	Political
Individual	Individual analytical capacity	Individual operational capacity	Individual political capacity
Organizational	Organizational analytical capacity	Organizational operational capacity	Organizational political capacity
Systemic	Systemic analytical capacity	Systemic operational capacity	Systemic political capacity

Source: Wu et al. (2015:168).

- » Approach to conceptualise the structural features of organisations/public administrations
- » Policy capacity: „[...] skills and resources – or competences and capabilities – necessary to perform policy functions“ (Wu et al. 2015: 166)

2. Theory

» Theoretical Approaches: Administrative Styles Concept (Knill et al. 2016)

Policy stage / indicator	Entrepreneurial style	Servant style
Policy initiation		
Issue emergence	Within bureaucracy	Outside bureaucracy
Support mobilization	High	Low
Mapping of political space	Pronounced strategies	Absent
Policy drafting		
Solution search	Optimizing	Satisficing
Internal coordination	Positive coordination	Negative coordination
Political anticipation	Functional politicization	Absent
Policy implementation		
Use of formal powers	Strategic deviation / use	Sticking to formal rules
Policy promotion	High	Low
Evaluation efforts	High	Low

- » Approach for capturing informal characteristics of public administrations
- » Ideal-typic distinction of two styles of administrative behavior:
 - » Entrepreneurial Style:
 - » Active role in the policy-making process
 - » Servant Style:
 - » Reactive and instrumental role in the policy-making process

Source: Knill et al. 2016: 61.

2. Theory

- » Administrative Patterns of Policy-Making
- » Assumption: Both *formal* and *informal* institutions affect the way how the government bureaucracy acts in the policy-making process
- » Two dimensions, along which administrative patterns of policy-making vary:
 - » Bureaucratic capacity (formal institutions)
 - » Capabilities necessary to perform functions in the policy-making process
 - » Policy capacity concept
 - » Policy ambition of bureaucratic organizations (informal institutions)
 - » "[...]extent to which the administration actually pursues clear and consistent policy goals or targets" (Knill, Enkler, et al. 2017, p. 62) in the policy-making process
 - » Administrative styles concept

2. Theory

» Administrative Patterns of Policy-Making

		Policy Ambitiousness	
		High	Low
Bureaucratic Capacity	High	<p>Entrepreneur</p> <p>„capable and willing“</p> <p>Complementary informal institutions</p>	<p>Reluctant-Entrepreneur</p> <p>„capable but unwilling“</p> <p>Accommodating informal institutions</p>
	Low	<p>Wannabe-Entrepreneur</p> <p>„willing but not capable“</p> <p>Substitutive informal institutions</p>	<p>Servant</p> <p>„unwilling and not capable“</p> <p>Competing informal institutions</p>

2. Theoretical Expectations

- » Research Question:
- » How do administrative patterns of policy-making affect the transposition of EU directives within the ministerial departments of the EU Member States?
- » Hypothesis about the transposition of EU directives,
 - (1) The more „entrepreneurial“ the administrative patterns of policy-making within the government bureaucracy, the higher the possibility to see the leeway of EU directives.
 - (2) The more „entrepreneurial“ the administrative patterns of policy-making within the government bureaucracy, the higher the possibility to *use* the leeway of EU directives.

3. Discussion

- » Is the combination of *formal* and *informal* institutions within one concept logical and comprehensible?
- » Is the concept „parsimonious“ or too complex?
- » Are both determinants really independent or covariant?
- » Can both dimensions be captured independently?