

Soc. 540. Institutional Analysis

Tuesdays, 1:30-4:20, Fall 2013

Paul Starr

This is a mini-seminar, open to graduate students only. It meets for six times in the first half of the fall semester. Each week there is a short list of common readings. In addition, students are expected to make three presentations on optional readings (books or articles) over the course of the seminar and to write up their reviews/critiques (adding up to roughly 15-18 pages), handing them in after the semester break (by October 29). The optional readings listed here, beginning in the second week, are not the only possibilities; students with interests in specific institutional areas or approaches may propose alternatives at the beginning of the term.

*Most common readings will be available in e-Reserves, while a few will be under "Course Materials." Scott's *Institutions and Organizations* and Acemoglu and Robinson's *Why Nations Fail* are the only common readings not available electronically. Students may want to purchase copies of those two books, though they have also been ordered for the sociology reading room in Firestone Library.*

September 17. Institutions and institutionalisms

This session introduces different types of institutional analysis and explores the meaning and variety of institutions, with examples drawn from each of three categories: (1) state-created institutions (citizenship), (2) private ordering within a legal framework (debt), and (3) institutions whose rules and practices are not generally established through law, though they may have the state's patronage and protection (science).

W. Richard Scott, *Institutions and Organizations*, 3rd ed. (Los Angeles: Sage Publications, 2008), Chs. 1-4. [Note: the fourth edition will be published in July.]

Peter A. Hall and Rosemary C. R. Taylor, "Political Science and the Three New Institutionalisms," *Political Studies* 44 (1996), 936-957.

Rogers Brubaker, "Citizenship as Social Closure" in *Citizenship and Nationhood in France and Germany* (Harvard University Press, 1992), 21-34 (Ch. 1).

David Graeber, *Debt: The First 5000 Years* (Brooklyn, NY: Melville House, 2011), 326-335; and
Bruce H. Mann, *Republic of Debtors: Bankruptcy in the Age of American Independence* (Cambridge, MA: Harvard University Press, 2009), Introduction and Ch.1.

Robert Merton, "The Normative Structure of Science" [1942] in Merton, *The Sociology of Science* (Chicago: University of Chicago Press, 1973), 267-78

September 24. Political institutions: the rise of the nation-state and citizenship

This session takes up a classic case in institutional analysis--the rise of the nation-state—and examines recent work from varying perspectives. (Prof. Wimmer will stop by for the first hour.)

Common readings

Charles Tilly, "Conditions Favoring the National State," pp. 25-31 in "Introduction" to Tilly, ed., *The Formation of National States in Western Europe* (Princeton: Princeton University Press, 1975).

John W. Meyer, John Boli, George M. Thomas, and Francisco O. Ramirez, "World Society and the Nation-State," *American Journal of Sociology* 103 (1997), 144-181.

Andreas Wimmer and Yuval Feinstein, "The Rise of the Nation-State across the World, 1816 to 2001," *American Sociological Review* 75 (2010), 764-790.

Suggested books for individual presentations

Ernest Gellner, *Nations and Nationalism* (Ithaca, NY: Cornell University Press, 1983).

Phillip G. Roeder, *Where Nation-States Come From: Institutional Change in the Age of Nationalism* (Princeton, NJ: Princeton University Press, 2007).

Charles Tilly, ed., *The Formation of National States in Western Europe* (Princeton: Princeton University Press, 1975). [choose a group of essays—e.g., Tilly, Ardant and Braun.]

Benedict Anderson, *Imagined Communities: Reflections on the Origin and Spread of Nationalism* (London: Verso, 1991).

Rogers Brubaker, *Citizenship and Nationhood in France and Germany* (Harvard University Press, 1992) [full book]

Alfred Stepan, Juan J. Linz, and Yogendra Yadav, *Crafting State-Nations: India and Other Multinational Democracies* (Baltimore, MD: Johns Hopkins Press, 2011).

John Torpey, *The Invention of the Passport: Surveillance, Citizenship and the State* (Cambridge: Cambridge University Press, 2000).

October 1. Explaining institutions and institutional change

This session focuses on institutional formation, historical institutionalism, and path-dependent development.

Common reading

Paul Pierson and Theda Skocpol, "Historical Institutionalism in Contemporary Political Science," in Helen Milner and Ira Katznelson, eds., *Political Science: The State of the Discipline* (New York: W. W. Norton, 2002), 693-721.

James Mahoney, "Path Dependence in Historical Sociology," *Theory and Society* (2000) 29: 507-48.

Vivien Schmidt, "Taking Ideas and Discourse Seriously: Explaining Change Through Discursive Institutionalism as the Fourth 'New Institutionalism,'" *European Political Science Review*, 2 (2010), 1-25.

Paul Starr, *The Creation of the Media* (New York: Basic Books, 2004), Introduction.

Suggested articles for individual presentation

Three articles tracing the intellectual lineage of increasing returns and path dependency:

W. Brian Arthur, "Competing Technologies, Increasing Returns, and Lock-in By Historical Events," *Economic Journal* (1989) 99: 116-31.

Paul Krugman, "The Legend of Arthur," *Slate* (January 15, 1998).

Koichi Yasuoka and Motoko Yasuoka: On the Prehistory of QWERTY," *Zinbun* No.42 (March 2011), 161-174, at <http://kanji.zinbun.kyoto-u.ac.jp/~yasuoka/publications/PreQWERTY.html>

Jack A. Goldstone, "Initial Conditions, General Laws, Path Dependence, and Explanation in Historical Sociology," *American Journal of Sociology* 104 (1998), 829-845

Scott E. Page, "Path Dependence," *Quarterly Journal of Political Science* 1 (2006), 87-115.

Barry R. Weingast, "Persuasion, Preference Change, and Critical Junctures: The Microfoundations of a Macroscopic Concept," in Ira Katznelson and Barry R. Weingast, eds., *Preferences and Situations: Points of Intersection between Historical and Rational Choice Institutionalism* (New York : Russell Sage Foundation, 2005), 160-184.

Paul Pierson, *Politics in Time: History, Institutions, and Social Analysis* (Princeton: Princeton University Press, 2004), Introduction, Chs. 1, 4, 5.

John R. Freeman and John E. Jackson, "Symposium on Models of Path Dependence," *Political Analysis* 20 (2012), 137-145.

James Mahoney and Kathleen Thelen, eds., *Explaining Institutional Change* (New York: Cambridge University Press, 2009), Introduction and selected chapters.

October 8. Institutional processes

This session focuses on institutional processes and the institutional orientation in organizational analysis. (Prof. DiMaggio will stop by for the first hour.)

Common reading

Lynne G. Zucker, "The Role of Institutionalization in Cultural Persistence," *American Sociological Review* 42 (1977), 726-743.

Paul J. DiMaggio and Walter Powell, "The Iron Cage Revisited: Institutional Isomorphism and Collective Rationality in Organizational Fields." *American Sociological Review* 48 (1983), 147-160.

Paul J. DiMaggio, and Walter W. Powell, "Introduction" in DiMaggio and Powell, eds., *The New Institutionalism in Organizational Analysis* (Chicago: University of Chicago Press, 1991), 1-38.

Scott, *Institutions and Organizations*, Ch. 6-9.

Not required, but interesting as background:

Paul M. Hirsch, "Sociology without Social Structure: Neoinstitutional Theory Meets Brave New World," *American Journal of Sociology* 102(May 1997), 1702-1723 [review of first edition of Scott's *Institutions and Organizations*]

Suggested articles for individual presentation

Two studies of institutionalism in post-secondary education:

Matthew S. Kraatz, and Edward J. Zajac, "Exploring the limits of the new institutionalism: The case and consequences of illegitimate organizational change," *American Sociological Review*, 61 (1996), 812-836.

Steven Brint and Jerome Karabel, "Institutional Origins and Transformations: The Case of American Community Colleges," in DiMaggio and Powell, eds., *The New Institutionalism in Organizational Analysis*, 337-360.

Two studies of institutionalism and industrial structure:

Frank R. Dobbin, "The Social Construction of the Great Depression: Industrial Policy during the 1930s in the United States, Britain, and France," *Theory and Society* 22 (1993), 1-56.

Neil Fligstein, "The Structural Transformation of American Industry: An Institutional Account of the Causes of Diversification in the Largest Firms, 1919-1979, in DiMaggio and Powell, eds., *The New Institutionalism in Organizational Analysis*, 311-336.

Two accounts of stability and change:

Michael T. Hannan and John Freeman, "Structural Inertia and Organizational Change," *American Sociological Review* 49 (1984), 149-164.

Ronald L. Jepperson, "Institutions, Institutional Effects, and Institutionalism," in DiMaggio and Powell, eds., *The New Institutionalism in Organizational Analysis*, 143-163.

A rational-choice account of policy stability:

George Tsebelis, *Veto Players: How Political Institutions Work* (Princeton, N.J. : Princeton University Press, 2002)

Jens Beckert, "Institutional Isomorphism Revisited: Convergence and Divergence in Institutional Change," *Sociological Theory* 28 (June 2010), 150-166.

October 15. Economic institutions and the sources of economic development

This session considers the contributions of rational-choice institutionalism and historical institutionalism to understanding the nature of capitalism and the sources of economic growth.

Common reading

Max Weber, *General Economic History* (Glencoe, IL: Free Press, 1950), 275-278 ("The Meaning and Presuppositions of Modern Capitalism") and Randall Collins "Weber's Last Theory of Capitalism: A Systematization." *American Sociological Review* 45 (1980), 925-942

Morton J. Horwitz, *The Transformation of American Law, 1780-1860* (Cambridge: Harvard University Press, 1977), 31-62 ("Transformation in the Conception of Property").

Daron Acemoglu and James A. Robinson, *Why Nations Fail: the Origins of Power, Prosperity and Poverty* (2012), Chs. 2-4, 7-10, 14-15.

Peter A. Hall and David Soskice, eds., "An Introduction to Varieties of Capitalism" in Hall and Soskice, eds., *Varieties of Capitalism: The Institutional Foundations of Comparative Advantage* (New York : Oxford University Press, 2001)

Suggested books and articles for individual presentation

Douglass C. North, *Institutions, Institutional Change, and Economic Performance* (New York : Cambridge University Press, 1990).

Two studies of credible commitment:

Douglass C. North and Barry R. Weingast, "Constitutions and Commitment: The Evolution of Institutional Governing Public Choice in Seventeenth-Century England," *Journal of Economic History* 49 (Dec. 1989), 803-832.

David Stasavage, "Credible Commitment in Early Modern Europe: North and Weingast Revisited," *Journal of Law, Economics, & Organization* 18 (2002), 155-186.

Oliver E. Williamson, *The Economic Institutions of Capitalism : Firms, Markets, Relational Contracting* (New York: Free Press, 1985).

Peter A. Hall and David Soskice, eds., *Varieties of Capitalism: The Institutional Foundations of Comparative Advantage* (New York : Oxford University Press, 2001).

Peter Hall, *Governing the Economy* (New York: Oxford University Press, 1986).

Supplementary debate:

Daron Acemoglu, James A. Robinson, and Thierry Verdier, "Choosing Your Own Capitalism in a Globalized World," at <http://www.voxeu.org/article/cuddly-or-cut-throat-capitalism-choosing-models-globalised-world>

Thomas B. Edsall, "Why Can't America Be Like Sweden?" at <http://opinionator.blogs.nytimes.com/2013/05/29/why-cant-america-be-sweden/>

October 22. Explaining contemporary institutional change

Here we turn to efforts to explain changes in contemporary institutions, including the shift toward market-oriented (or "neoliberal") institutions and policies and the spread of constitutions, judicial review, and the "new public management."

Common reading

Alasdair Roberts, *The Logic of Discipline: Global Capitalism and the Architecture of Government* (New York: Oxford University Press, 2010), Chs. 1-2, 8.

Frank Dobbin, Beth Simmons and Geoffrey Garrett, "The Global Diffusion of Public Policies: Social Construction, Coercion, Competition, or Learning?" *Annual Review of Sociology* 33 (2007), 449-472.

Suggested books and articles for individual presentation

Beth A. Simmons, *Mobilizing for Human Rights: International Law in Domestic Politics* (New York : Cambridge University Press, 2009).

Michael Barzelay and Racquel Gallego, "From 'New Institutionalism' to 'Institutional Processualism': Advancing Knowledge about Public Management Policy Change," *Governance*, 19 (2006), 531 -557.

- John L. Campbell and Ove K. Pedersen, eds., *The Rise of Neoliberalism and Institutional Analysis* (Princeton: Princeton University Press, 2001).
- John L. Campbell, *Institutional Change and Globalization* (Princeton, NJ: Princeton University Press, 2004).
- Mark Blyth, *Great Transformations: Economic Ideas and Institutional Change in the Twentieth Century* (New York: Cambridge University Press, 2002).
- Tom Ginsburg, *Judicial Review in New Democracies: Constitutional Courts in Asian Cases* (New York: Cambridge University Press, 2003).