Index

agent behaviour
- EU member states 102
- in institutions 39–40, 44, 45, 49, 52, 66–7, 70, 71
- path dependency 39–40
- in policy paradigms 64, 71
- public policy 32, 56–7, 61, 64–8, 69–70, 96, 102, 105, 108–9, 120
- representative agent models 67

Australia
- budget-making process 7
- Goods and Services tax 46
- industrial relations reforms 26–7

bandwagon effects 45, 52, 68
- Baumgartner, Frank and Bryan Jones 2, 10, 26, 44
- Brussels Agreements 85–7
- budget systems see under EU

change 5–6, 11, 12, 91
- incremental 43–6
- radical 43–6
- reductionism 43, 45, 65
- and stability 37–40
- see also evolution
- Collingwood, R.G. 20, 66
- Crouch, C. and H. Farrell 39–40, 55

Darwin, Charles 43, 47, 48
- decision-making
- EU budget system 88
- and path dependency 33–6
- public policy 11, 13, 25–6, 29, 55, 56–7, 88

Denmark, and EU CAP 100
- dynamic analysis
- and agents’ actions 56–7, 64–8, 69–70, 96, 102, 105, 108–9, 120
- definition of 1–3
- and history in social sciences 18, 20,

21
- interactionist view 9–10, 56, 57
- methodological localism 40, 64, 67
- narrative elements 60, 63
- policy as choice 24–9, 55, 65, 68, 118
- and punctuated change 44
- in social sciences 3, 4–5
- and state space 4–5, 29, 80–81
- see also individual case studies

Easton, David 8
- economics
- evolutionary see evolution
- hysteresis 68
- increasing returns processes 40
- neoclassical 40–41
- path dependency 29–30
- representative agent models 67
- thrift paradox 24
- Elster, Jon 18–19, 20, 23, 28, 47, 62, 68
- EU
- and CAP see EU CAP
- and GATT 87, 93, 96, 97–8
- and Single European Market 85, 91, 99
- telecommunications policy 21
- EU budget system
- Balanced Budget Rule (BBR) 78, 79, 81–5, 87, 89, 93, 95
- bankruptcy avoidance 79, 85
- Brussels Agreements 85–7
- Budgetary Discipline 85, 86
- and CAP see EU CAP
- Compulsory Expenditure (CE) 78, 82, 84, 87, 88, 92–3
- crises 79–80, 82, 83, 84, 85, 87, 95, 100, 102
- decision-making procedures 88
- development 83–4
- domain constraints 78, 82, 86, 87, 88, 96, 97, 102
EU25 budget spending 99, 102–3
Financial Perspective 85–6, 87, 88, 96, 97
Fontainebleau Agreements 84–5
increasing returns process 77, 78, 79, 80, 88–9
institutional change 77, 79–80, 82–3
institutional layering 77, 80, 83, 85, 89
Inter-institutional Agreement (IIA) 86, 88
Luxembourg Treaty 78, 82
Non-Compulsory Expenditure (NCE) 78, 82, 86
switching costs 78
temporal states 77, 80
'trial and error' development 87
UK net contributions rebate 84–5
VAT system 81–2
EU CAP
arable set aside 96, 97–8, 99, 101–2
beef production 87, 97, 99
Blue Box payments 97, 98
cereal production 87, 94, 101
Co-Responsibility Levy (CRL) 94, 95, 98, 101
CoAM 82, 84, 85, 86, 87, 88, 95
Commissioners, inner circle of 95–6, 102
Common Customs Tariff (CCT) 81–2
Community Preference 96, 98, 99
compensation payments 97, 98
dairy industry 94–5, 101
demand growth suppression 92
and Denmark 100
dimensions to 91
direct payments 88, 91, 96, 97, 98, 99, 101–2
environmental parameters 92
export subsidies 92, 93
and France 100, 102
and Germany 95, 100, 101
Guarantee Thresholds 94, 95, 99, 100, 101
import tariffs 92
incentive structure 91, 93
and international trade negotiations 92, 93, 96, 97–8, 102
intervention storage 83–4, 92, 93, 95
and Ireland 100, 102
land values 24
MacSharry reform 87
Maximum Guaranteed Quantity 94
member states’ role as agents 102
microfoundations 99–101
modulation 98, 101
and Netherlands 100
oilsseeds reform 97–8, 102
and path dependency 31, 90–92, 95, 96, 99, 100, 101–2
price support instruments 83–4, 86–8, 91–4, 96–7, 98, 99, 100, 102
quotas 94–5, 101
reform (1977) 92, 94
reform (1982) 94
reform (1984) 84, 93, 94, 95–6, 100, 102
reform (1986) 94, 95
reform (1988) 37, 86–7, 93, 94, 95–6, 102
reform (1992) 91, 96–8, 99, 100, 101–2
reform (1999) 98
reform (2003) 98, 101
Rural Development policy 98, 99
sheep production 99
Single Farm Payment (SFP) 98, 101
and Spain 100
spending growth rate 85, 86–7, 88, 95–6, 97
Stabilizers reform 86, 94, 101
support principles 93–6
surpluses 92, 93
and Sweden 100
three pillars of 91, 96, 98, 99
trade-distorting elements 97
and UK 100, 101
USA, trade talks with 97
Variable Import Levy (VIL) 81–2, 83, 84
and WTO Doha Round 98

see also EU budget system

The dynamics of public policy

28116_Dynamics/Index 22/9/06 15:32 Page 2
EU Treaty of Rome 39, 78, 79, 81
Articles 38 to 43 91
Article 39 93–4, 99
Article 199 81
Article 203 82

evolution
artificial selection 51
bandwagon effects 45, 52, 68
biological 43, 44, 45, 47, 49, 50, 51, 52–3, 57–8
fitness 52–3
functional explanations 47, 48–50
incrementalism 43–6, 55
and intentionality 50–52
metaphor 54–5, 56–7, 79–80, 82, 83, 105
metaphor in EU 79–80, 82, 83
myopia 51
natural explanation 5, 28, 29
natural selection 47, 49, 50, 52–3, 57
network effects 45
optimization models 53
perspectives 42–58
in policy studies 54–8
as a process 43–6
random variation 51
in social sciences 47–53
as theory 46–8
tipping points 45, 52, 68
see also path dependency; public policy

firms
efficiency of 34
routines in 47
see also institutions
Fontainebleau Agreements 84–5
France, and EU CAP 100, 102

game theory 2, 25, 105
Prisoner’s Dilemma 108–9, 111
GATT
Blue Box policies 97, 98
and EU 87, 93, 96, 97–8
Green Box policies 97
Germany, and EU CAP 95, 100, 101

Habermas, Jurgen 56
Hall, Peter A. 11, 12, 20, 30, 32, 36, 65, 67, 70, 105

Hay, Colin 36, 37, 41, 51, 56, 65
health policy see under UK
historical institutionalist (HI) school 20, 22, 30, 37, 38, 47

institutions
agents’ capacity 39–40, 44, 45, 49, 52, 66–7, 70, 71
budget rules as 13, 30
change potential 55, 66, 71, 77–80
collective 67, 71
conceptual maps 66–7, 69
constraint of 66, 77
described behaviour 67
EU budget system, change in 77, 79–80, 82–3
EU Inter-institutional Agreement (IIA) 86, 88
formation of new 38, 39, 78, 80
historical institutionalist (HI) school 20, 22, 30, 37, 38, 47
incomplete 39, 85
inefficient 41
inherited legacies 80
innovation 39, 45, 78
Inter-institutional Agreements (IIA) 86
interdependence of 39, 80–81
layering of 40, 55, 77, 80, 83, 85, 89, 121
lock-in 39
and path dependency 29, 30, 32, 34, 37, 80
and policy, conceptual distinction 13
and policy paradigms 55, 66–7, 71, 105–6
strategic agency 45, 65
structure and agency in 65
and technological development 34
see also firms; public policy
interest groups 35, 72, 126
Ireland, and EU CAP 100, 102

Kay, Adrian 31, 35, 41, 83, 91, 124
Kemp, P. 31, 32, 35, 38, 41
Kingdon, John W. 44, 52
Kuhnian scientific paradigms 12, 36, 105
layering of institutions 40, 55, 77, 80, 83, 85, 89, 121
Lowi, Theodore 14
Luxembourg Treaty 78, 82
MacSharry reform, EU CAP 87
metaphors
gentleman’s agreement in UK
pharmaceutical policy 121, 122, 123
public policy 23, 28, 30, 35–6, 54–5, 56–7, 61, 73, 79, 122
in social sciences 54
narratives, policy
ad hoc-ness avoidance 62, 71
causal relationships 19, 22, 23, 46
Dr Seuss-like explanatory principles 62, 71
elephant fable 62–3
evaluation of 71–4
and evolutionary metaphor 54–5, 56–7, 79–80, 82, 105
ingredients of 45, 59–63
and institutions see institutions
interpretivist policy 66–7
‘just so’ story avoidance 61–2
metaphors, use of 23, 28, 30
microanalysis of 63–71
path dependency 28, 29, 31–41
perspective scale 23
and policy memory 68–71
relativist 72–3
salience judgement 61
situated agency 65–8, 79
strategic agency 63
supervenience 30, 46, 64
see also individual case studies; path
dependency; public policy
path dependency
adaptive expectations 34, 55
agents’ capacity 39–40
confluence of paths 61
and constituent changes 90–91
decision-making over time 33–6
OECD
Central Budget Agencies 70
neoclassical policy analysis in 70
pharmaceutical policy 118
path dependency
adaptive expectations 34, 55
agents’ capacity 39–40
confluence of paths 61
and constituent changes 90–91
decision-making over time 33–6
in economics 25, 29–30, 77
EU budget system 38–9, 78, 79, 82, 89
EU CAP 31, 90–92, 95, 96, 99, 100, 101–2
and exogenous changes 39–40, 90–91, 101–2
as increasing returns process 34–5, 39
inefficiency in 40–41
and institutions 29, 30, 32, 34, 37, 80
learning costs 34
locked-in elements 38, 78
mechanisms 33–4, 35, 61, 65
microfoundations of 31, 79
multiple realizability 30–31
network effects 34
normative aspects 40–41, 66–7
on-path versus off-path change 39, 78
perspective granularity 38, 39
policy change and stability 11, 12, 37–40, 90–91
and policy narratives 28, 29, 31–41
Polya urn model 37
scientific theories 36
sunk costs 34
temporal process 30, 32, 35
Pierce, C.S. 20, 47, 72
Pierson, Paul 2, 4, 13, 20, 32, 34, 35, 61
policy paradigms
agents in 64, 71
definitions of 11–12, 36, 52, 70
institutionalization of 55, 66–7, 71, 105–6
lack of, in UK GP fundholding scheme 104, 105–6, 111–13, 115
and UK pharmaceutical policy 119
Popper, Karl R. 24, 47, 53, 54
Prisoner’s Dilemma game theory 108–9, 111
public policy
accumulation 13, 119, 120
action and consequences 24, 25, 27–8, 38, 49, 50, 55, 119–20
actors, elite 64, 96
administrative infrastructure
investment 35
agents’ actions 32, 56–7, 61, 64–8, 69–70, 96, 102, 105, 108–9, 120
change 11, 12, 37–40, 90–91
as choice 24–9, 55, 65, 68, 118
<table>
<thead>
<tr>
<th>Index</th>
<th>147</th>
</tr>
</thead>
<tbody>
<tr>
<td>classical view 8–9, 11</td>
<td></td>
</tr>
<tr>
<td>cluster concept 59–60</td>
<td></td>
</tr>
<tr>
<td>combinational effects 40</td>
<td></td>
</tr>
<tr>
<td>as composite variable 21, 67, 90</td>
<td></td>
</tr>
<tr>
<td>contestation, continued 72</td>
<td></td>
</tr>
<tr>
<td>contingent conjunctures 27–8, 36, 60, 63, 65</td>
<td></td>
</tr>
<tr>
<td>cost-benefit analysis 6–7</td>
<td></td>
</tr>
<tr>
<td>crises 69, 79–80, 82, 83, 84, 85, 87, 95, 100, 102</td>
<td></td>
</tr>
<tr>
<td>cycle 8–9</td>
<td></td>
</tr>
<tr>
<td>decision-making process 11, 13, 25–6, 29, 55, 56–7</td>
<td></td>
</tr>
<tr>
<td>definition of 2, 7–10</td>
<td></td>
</tr>
<tr>
<td>dynamic analysis see dynamic analysis</td>
<td></td>
</tr>
<tr>
<td>and electoral competition 72</td>
<td></td>
</tr>
<tr>
<td>and evolution see evolution failure 55, 105</td>
<td></td>
</tr>
<tr>
<td>folk theorems 112, 115</td>
<td></td>
</tr>
<tr>
<td>future constraints, anticipation of 52</td>
<td></td>
</tr>
<tr>
<td>generic stages model 5</td>
<td></td>
</tr>
<tr>
<td>government department operating procedures 13, 30</td>
<td></td>
</tr>
<tr>
<td>government self–interest 27</td>
<td></td>
</tr>
<tr>
<td>hinge propositions 11–12</td>
<td></td>
</tr>
<tr>
<td>historical institutionalist (HI) school 20, 30, 37, 38, 47</td>
<td></td>
</tr>
<tr>
<td>history 2–3, 6–7, 21, 60, 72, 73, 120</td>
<td></td>
</tr>
<tr>
<td>ideal-type 59–60</td>
<td></td>
</tr>
<tr>
<td>increasing returns processes 35–6</td>
<td></td>
</tr>
<tr>
<td>incrementalism 44</td>
<td></td>
</tr>
<tr>
<td>individual contracts 35</td>
<td></td>
</tr>
<tr>
<td>inefficient 41</td>
<td></td>
</tr>
<tr>
<td>and inertia 7</td>
<td></td>
</tr>
<tr>
<td>institutions see institutions</td>
<td></td>
</tr>
<tr>
<td>intention and action, distinction between 25–7, 52, 55</td>
<td></td>
</tr>
<tr>
<td>interactionist view 9–10, 56, 57</td>
<td></td>
</tr>
<tr>
<td>and interest groups 35, 72</td>
<td></td>
</tr>
<tr>
<td>learning 55, 105–6</td>
<td></td>
</tr>
<tr>
<td>memory 68–71</td>
<td></td>
</tr>
<tr>
<td>meso-level concept 60, 64</td>
<td></td>
</tr>
<tr>
<td>metaphors 23, 28, 30, 35–6, 54–5, 56–7, 61, 73, 79, 122</td>
<td></td>
</tr>
<tr>
<td>methodological localism 64, 67</td>
<td></td>
</tr>
<tr>
<td>narratives see narratives, policy</td>
<td></td>
</tr>
<tr>
<td>neoclassical analysis 70</td>
<td></td>
</tr>
<tr>
<td>networks 13, 30, 35, 64, 108</td>
<td></td>
</tr>
<tr>
<td>paradigms see policy paradigms</td>
<td></td>
</tr>
<tr>
<td>patches 38, 119</td>
<td></td>
</tr>
<tr>
<td>path dependency see path dependency</td>
<td></td>
</tr>
<tr>
<td>performance measurement in 41</td>
<td></td>
</tr>
<tr>
<td>policy soup 35–6, 52</td>
<td></td>
</tr>
<tr>
<td>and political risk 26</td>
<td></td>
</tr>
<tr>
<td>preference changes 25, 55</td>
<td></td>
</tr>
<tr>
<td>punctuated change 44</td>
<td></td>
</tr>
<tr>
<td>rationality in 8, 24–5, 36, 44, 51, 55–7, 62, 65, 118, 119, 120, 121</td>
<td></td>
</tr>
<tr>
<td>selection mechanisms 52, 55</td>
<td></td>
</tr>
<tr>
<td>situated agency 11, 65–8</td>
<td></td>
</tr>
<tr>
<td>social welfare function 119</td>
<td></td>
</tr>
<tr>
<td>stability 11, 12, 37–40, 104–5</td>
<td></td>
</tr>
<tr>
<td>strategic actions 27, 32</td>
<td></td>
</tr>
<tr>
<td>subsystems 10, 11, 32–3, 38, 120</td>
<td></td>
</tr>
<tr>
<td>system 10–12</td>
<td></td>
</tr>
<tr>
<td>temporal cycling 120, 121</td>
<td></td>
</tr>
<tr>
<td>and temporality 3–10, 25, 26–7, 52, 55, 57, 73</td>
<td></td>
</tr>
<tr>
<td>and uncertainty 2, 12, 27, 56</td>
<td></td>
</tr>
<tr>
<td>windows 52, 96</td>
<td></td>
</tr>
<tr>
<td>see also individual case studies</td>
<td></td>
</tr>
<tr>
<td>reductionism 43, 45, 65</td>
<td></td>
</tr>
<tr>
<td>Simon, Herbert 51, 56</td>
<td></td>
</tr>
<tr>
<td>social sciences</td>
<td></td>
</tr>
<tr>
<td>abduction 20, 72</td>
<td></td>
</tr>
<tr>
<td>biological analogies 47–8</td>
<td></td>
</tr>
<tr>
<td>cluster concepts 59</td>
<td></td>
</tr>
<tr>
<td>dynamics in 3, 4–5</td>
<td></td>
</tr>
<tr>
<td>evolutionary theory in 47–53</td>
<td></td>
</tr>
<tr>
<td>functional explanations 18–19, 20, 28, 30, 47, 48–50</td>
<td></td>
</tr>
<tr>
<td>historical 17–19, 20, 22</td>
<td></td>
</tr>
<tr>
<td>historical institutionalist (HI) school 20, 22, 30, 37, 38, 47</td>
<td></td>
</tr>
<tr>
<td>idiographic-nomothetic divide 18–22, 23, 28</td>
<td></td>
</tr>
<tr>
<td>mechanisms, role of, and explanations 18–19, 28, 30</td>
<td></td>
</tr>
<tr>
<td>metaparadigms in 54</td>
<td></td>
</tr>
<tr>
<td>Spain, and EU CAP 100</td>
<td></td>
</tr>
<tr>
<td>Stinchcombe, Arthur 34</td>
<td></td>
</tr>
<tr>
<td>Sweden, and EU CAP 100</td>
<td></td>
</tr>
<tr>
<td>temporality</td>
<td></td>
</tr>
<tr>
<td>and public policy 3–10, 25, 26–7, 52, 55, 57, 73</td>
<td></td>
</tr>
</tbody>
</table>
temporal cycling 23, 120, 121, 123–5, 128
Thelen, Kathleen 2, 12, 37, 39, 47, 55, 78
tipping points 45, 52, 68
UK and EU CAP 100, 101
EU contributions rebate 84–5
evidence-based policymaking (New Labour) 51
‘foot and mouth’ policy 69
health policy see UK GP fundholding scheme; UK health policy; UK pharmaceutical policy
housing benefit reform 31, 32, 38
inflation 27–8
monetary policy, 1980s 27–8
National Institute for Clinical Excellence (NICE) 116, 125, 126, 128
national performance frameworks 116
Neighbourhood Renewal 51
New Deals 51
OFTEL 122
pension policy 31, 32, 38
policy-making improvements 8, 57
social housing 32–3
Sure Start 51
UK GP fundholding scheme
abolition of 114, 115–17
and Audit Commission 113–14
BMA representation, lack of 107–8, 111, 112
budget allocation 107
and generic drugs 115
hospital services 107
in inner-city areas 114
introduction of 106–8
Labour Party opposition to 107
lack of evidence to support 114–15
management allowances 107, 113
non-fundholding practices 113
official and empirical studies of 113–15
patient removal 113
policy paradigm, lack of 104, 105–6, 111–13, 115
Royal Commission, lack of 107, 110, 111, 112
secondary care services 113
What the Doctor Ordered 114
Working for Patients 107
UK health policy 21, 23, 31, 38, 51, 104
BMA 107–9, 110, 111, 112
community breakdown 110–11, 112
Health Act (1999) 125, 127
Hospital Trusts 120
National Health Service Act 1946 108
Royal Commissions 107, 109, 110, 111
Sure Start 51
UK GP fundholding scheme
abolition of 114, 115–17
and Audit Commission 113–14
BMA representation, lack of 107–8, 111, 112
budget allocation 107
and generic drugs 115
hospital services 107
in inner-city areas 114
introduction of 106–8
Labour Party opposition to 107
lack of evidence to support 114–15
management allowances 107, 113
non-fundholding practices 113
official and empirical studies of 113–15
patient removal 113
policy paradigm, lack of 104, 105–6, 111–13, 115
Royal Commission, lack of 107, 110, 111, 112
secondary care services 113
What the Doctor Ordered 114
Working for Patients 107
UK health policy 21, 23, 31, 38, 51, 104
BMA 107–9, 110, 111, 112
community breakdown 110–11, 112
Health Act (1999) 125, 127
Hospital Trusts 120
National Health Service Act 1946 108
Royal Commissions 107, 109, 110, 111
Sure Start 51
UK GP fundholding scheme
abolition of 114, 115–17
and Audit Commission 113–14
BMA representation, lack of 107–8, 111, 112
budget allocation 107
and generic drugs 115
hospital services 107
in inner-city areas 114
introduction of 106–8
Labour Party opposition to 107
lack of evidence to support 114–15
management allowances 107, 113
non-fundholding practices 113
official and empirical studies of 113–15
patient removal 113
policy paradigm, lack of 104, 105–6, 111–13, 115
Royal Commission, lack of 107, 110, 111, 112
secondary care services 113
What the Doctor Ordered 114
Working for Patients 107
UK health policy 21, 23, 31, 38, 51, 104
BMA 107–9, 110, 111, 112
community breakdown 110–11, 112
Health Act (1999) 125, 127
Hospital Trusts 120
National Health Service Act 1946 108
Royal Commissions 107, 109, 110, 111
Sure Start 51
UK GP fundholding scheme
abolition of 114, 115–17
and Audit Commission 113–14
BMA representation, lack of 107–8, 111, 112
budget allocation 107
and generic drugs 115
hospital services 107
in inner-city areas 114
introduction of 106–8
Labour Party opposition to 107
lack of evidence to support 114–15
management allowances 107, 113
non-fundholding practices 113
official and empirical studies of 113–15
patient removal 113
policy paradigm, lack of 104, 105–6, 111–13, 115
Royal Commission, lack of 107, 110, 111, 112
secondary care services 113
What the DoctorOrdered 114
Working for Patients 107
UK health policy 21, 23, 31, 38, 51, 104
BMA 107–9, 110, 111, 112
community breakdown 110–11, 112
Health Act (1999) 125, 127
Hospital Trusts 120
National Health Service Act 1946 108
National Institute for Clinical Excellence (NICE) 116, 125, 126, 128
The New NHS: Modern, Dependable 115–16
NHS funding 105, 110–11, 116, 123
NHS internal market 106
NHS Plan (2000) 116
NHS policy paradigm 104
NHS reforms (1991) 105, 106, 114
NHS, two-tier 110
paradigm, breakdown of 105–6
policy learning in healthcare 105–6
politicization of 105, 107–8
Primary Care Trusts 115–16, 120
public demand for health care 105, 112
Royal Commissions 107, 109, 110, 111
trust in 109
UK pharmaceutical policy
annual financial return (AFR) 121, 122
and Audit Commission 124
brand name selling 125
branded products 124, 125, 126, 127
companies, support for 118–19
demand-side policies 123, 125
DoH Pricing and Supply branch 120, 126
generic subscribing 115, 123–4, 127, 128
and gentleman’s agreement regulation 121
metaphor 121, 122, 123
and GP fundholding see UK GP fundholding
interest groups 126
layering 121
‘limited list’ prescribing 110
marketing 121