

DEPARTMENT OF CITY AND REGIONAL PLANNING

University of North Carolina at Chapel Hill 27599-3140

Fall 2003  
Professor Harvey Goldstein

Tuesday 2:00-4:30  
New East 305

**PLAN 205**  
**Advanced Planning Theory**

Course objectives

This course will review and critically evaluate the various epistemological, methodological, and normative foundations of planning thought and practice. It will also examine some of the contemporary debates in the planning theory literature. The course is meant to (1) provide the necessary background and foundations for students wishing to make scholarly contributions to the planning theory literature, (2) help students uncover imbedded planning-theoretic issues in their policy-oriented research, and (3) prepare students for the theory portion of their Ph.D. comprehensive exams.

Course Outline

- 1 Introduction and overview of the terrain of planning theory (8/26)
- 2 Logical empiricism (9/2)
- 3 Interpretive inquiry (9/9)
- 4 Pragmatism (9/16)
- 5 Critical Theory (9/23)
- 6 Concepts of rationality (9/30)
- 7 Concepts of the public interest (10/7)
- 8 Power and conflict in planning (10/14)
- 9 Planning as social reform (10/21)
- 10 Planning as an optimizing process (10/28)
- 11 Planning as social learning (11/4)
- 12 Planning as reflection in action (11/11)
- 13 Planning as communicative action (11/18)
- 14 Planning as argumentation (11/25)
- 15 Wrap up and course evaluation (12/2)

Format and requirements

The course will be run as a weekly seminar. Students will have the responsibility of leading most of the seminars. Guidelines for preparing and conducting seminars will be provided at the first class meeting.

There will be two required papers on topics chosen by the instructor. The first paper will be due on October 21. The second paper will be due on December 5 (4:00 PM). There will be no incompletes issued (except for valid medical reasons) and late papers will be downgraded. Course grades will be based on the papers (1/3 each) and quality of participation and leadership of seminar discussions (1/3).

### Readings

Readings will be from a number of books and journal articles. Books that have been ordered and are available at Student Stores are: (1) John Friedmann, *Planning in the Public Domain* (Princeton University Press, 1987); (2) Richard Bernstein, *The Restructuring of Social and Political Thought* (The University of Pennsylvania Press, 1978); (3) Karl Popper, *The Logic of Scientific Discovery* (Harper Torchbooks, 1968 edition); Hilda Blanco, (4) *How to Think About Social Problems: American Pragmatism and the Idea of Planning* (Greenwood, 1994), (5) John Forester, *Critical Theory, Public Policy, and Planning Practice* (SUNY Press, 1993), (6) Donald Schon, *The Reflective Practitioner* (Basic Books, 1983), and (7) Tore Sager, *Communicative Planning Theory* (Avebury, 1994). Other required readings will be available in a reading packet on reserve in the Planning Library.

### Prerequisites

Ph.D. students in City and Regional Planning or permission of the instructor. Prior course work and background in planning theory, planning history, philosophy of science, and political theory will be helpful, though not necessary.

Reading List  
(\* indicates required)

Session

**1. Introduction (8/26)**

- The domain of planning theory and policy inquiry;
- Problems in the development of a theory of planning;
- The methodological problem of planning and planning theory;
- Wicked problems;
- Outline of the course.

- a. \*John Friedmann, *Planning in the Public Domain* (Princeton Univ. Press, 1987). pp. 3-85.
- b. \*Horst W.J. Rittel and M.M. Webber, "Dilemmas in a General Theory of Planning," *Policy Sciences* 4, (1974), pp. 155-169.
- c. \*Charles Lindblom, *Inquiry and Change*, pp. 1-14.
- d. Britton Harris, "The Limits of Science and Humanism in Planning," *JAIP* (1967): 324-35.

**2. Scientific Knowledge and Inquiry (9/2)**

- What are the standards for scientific knowledge?
- To what extent can these standards be met in planning and policy inquiry?
- For what classes of planning problems is scientific knowledge appropriate? necessary? sufficient?

- a. \*Karl Popper, *The Logic of Scientific Discovery* (Harper & Row, 1968) pp. 27-59, 78-93, 251-284
- b. \*Richard J. Bernstein, *The Restructuring of Social and Political Theory* (University of Pennsylvania Press,), pp. 3-54.
- c. \*A. Faludi, *Critical Rationalism and Planning Methodology*, pp. 28-43.
- d. David C. Paris and James F. Reynolds, *The Logic of Policy Inquiry* (Longman, 1983), pp. 14-78.
- e. Thomas S. Kuhn, *The Structure of Scientific Revolutions* (University of Chicago Press), pp. 10-51, 77-136, 174-210.
- f. Leszek Kolakowski, *The Alienation of Reason* (Doubleday, 1969), Chapters 1, 7, 8.

- g. Jurgen Habermas, *Knowledge and Human Interests* (Beacon Press, 1971). Chapters 4-6.
- h. Imre Lakatos, "Falsification and the Methodology of Scientific Research Programs", in Lakatos and Musgrave (eds), *Criticism and the Growth of Knowledge* (Cambridge University Press).
- i. Ludwig von Mises, "The Science of Human Action" in F. Hahn and M. Hollis (eds.), *Philosophy and Economic Theory* (Oxford Univ. Press, 1979).
- j. Ernest Nagel, "Assumptions in Economic Theory" in A. Ryan (eds.), *The Philosophy of Social Explanation* (Oxford, 1973).

### 3. Interpretive Inquiry (9/9)

- The critique of positivist science. How is the interpretive "method" different from science?
  - What are the strengths and weaknesses of the interpretive method for producing knowledge for planning?
  - For what classes of problems is knowledge from interpretive inquiry appropriate? necessary? sufficient?
- a. \*David Paris and James Reynolds, *The Logic of Policy Inquiry*, Chapter 6.
  - b. \*Fred R. Dallmayr and Thomas A. McCarthy, eds., *Understanding and Social Inquiry*, pp. 1-12, 19-23, and articles by Weber (pp. 24-37) and Taylor (pp. 101-130). Remainder as interested.
  - c. \*Richard Bernstein, *The Restructuring of Social and Political Theory*, Part III (Part II optional)..
  - d. Zygmunt Bauman, *Hermeneutics and Social Science*, pp. 7-22, 194-224, rest as interested.
  - e. Paul Ricoeur, *Hermeneutics and the Human Sciences* (Cambridge Univ. Press, 1981).
  - f. Alfred Schutz, *The Phenomenology of the Social World* (Northwestern Univ. Press, 1967).
  - g. Harold Garfinkle, *Studies in Ethnomethodology*: (Prentice-Hall, 1967).
  - h. Paul Rabinow and William M. Sullivan, *Interpretive Social Science* (Univ. of California Press, 1979).
  - i. Peter Winch, *The Idea of a Social Science* (Humanities Press, 1958).

### 4. Critical Theory (9/23)

- What is the "method" of critical theory for producing knowledge?

- How does this method differ from that of scientific knowledge, interpretive inquiry?
- What methodological or epistemological problems of planning does critical theory purport to solve? Does it?

- a. \*Richard Bernstein, *The Restructuring of Social and Political Theory*, pp. 171-236.
- b. \*Thomas McCarthy, *The Critical Theory of Jurgen Habermas* (MIT Press, 1981), pp. 272-333.
- c. \*Jurgen Habermas, *Communication and the Evolution of Society*, chapter 1.
- d. \*John Forester, *Critical Theory, Public Policy, and Planning Practice*, pp.1-14.
- e. George Hemmens and Bruce Stiftel, "Sources for the Renewal of Planning Theory, *JAPA* 46 (1980), pp. 341-345.
- f. Jurgen Habermas, *Knowledge and Human Interests* (Beacon Press, 1971).
- g. \_\_\_\_\_, *Theory and Practice* (Beacon Press, 1973).
- h. Steven Lukes, "Of Gods and Demons: Habermas and Practical Reason" in J.B. Thompson and D. Held, *Habermas, Critical Debates* (MIT Press, 1982).
- i. Fred Dallmayr, "Critical Theory Criticized: Habermas's Knowledge and Human Interests and Its Aftermath," *Philosophy of the Social Sciences* 2 (1972), pp. 211-229.
- j. David Held, *Introduction to Critical Theory* (Univ. of California Press).

## 5. **Pragmatism (9/16)**

- How does pragmatism differ from Popperian logical empiricism?
- By what means are claims to truth tested for validity under pragmatism?
- How are values treated under pragmatism?

- a. \*Morton White, *Pragmatism and the American Mind*, chapter 7 (pp. 95-109) and Chapter 10 (pp. 138-154).
- b. \*Richard Bernstein, *John Dewey*, chapters 4, 5, 8, elsewhere as interested.
- c. \*Hilda Blanco, *How to Think About Social Problems: American Pragmatism and the Idea of Planning*, chapters 2 and 3, elsewhere as interested.

- d. Charles Hoch, "Doing Good and Being Right: The Pragmatic Connection in Planning Theory," *JAPA*, Vol. 50, No. 3 (1984).
- e. John Dewey, *Experience and Nature*, chapter 1, elsewhere as interested.
- f. John Dewey, *Logic, The Theory of Inquiry*, esp. chapters 4, pp. 6-14 and 19-25.
- g. John Dewey, *The Quest for Certainty*, esp. chapters 5-7 (Paragon Books, 1929).
- h. Richard J. Bernstein, *Praxis and Action*, Part III. (University of Pennsylvania Press, 1971).
- i. Nicholas Rescher, *Peirce's Philosophy of Science*. (University of Notre Dame Press, 1978).

**6. Concepts of Rationality (9/23)**

- What are the various conceptions of rationality in planning, and how do they differ?
- Can 'ends' be rational?

- a. \*Karl Mannheim, *Man and Society in an Age of Reconstruction* (Harcourt, Brace & World, 1940), pp. 51-60.
- b. \*M.J. Breheny and A.J. Hooper, "Introduction: The Role of Rationality in Urban and Regional Planning" in Breheny and Hooper (eds.), *Rationality in Planning* (Pion Limited, 1985).
- c. \*Herbert Simon, "From Substantive to Procedural Rationality," in Frank Hahn and Martin Hollis, *Philosophy and Economic Theory* (Oxford University Press, 1979).
- d. \*J. Forester, "Practical Rationality" in J. Forester, *Critical Theory, Public Policy, and Planning Practice*. (State University of New York Press, 1993).
- e. \*M. Batty, "Formal Reasoning in Urban Planning: Computers, Complexity, and Mathematical Modeling" in Breheny and Hooper.
- f. \*E. Reade, "An Analysis of the Use of the Concept of Rationality in the Literature of Planning" in Breheny and Hooper.
- g. B. Harris, "Rationality and Its Enemies" in Breheny and Hooper.
- h. John Elster, "Perfect Rationality: Beyond Gradient Climbing," in J. Elster, *Ulysses and the Sirens*, pp. 1-35 (Cambridge University Press, 1984).
- i. Amarta Sen, "Rational Fools," in Hahn and Hollis, pp. 87-109 (1979).

- j. M.B. Teitz, "Rationality in Planning and the Search for Community" in Breheny and Hooper.
- k. H. Goldstein, "Rationality, Social Purposes, and Planning Paradigms: Do They Matter?" in H. Goldstein and S. Rosenberry (eds.), *The Structural Crisis of the 1970's and Beyond* (VPI & SU, 1978).

## 7. The Public Interest and Legitimation of the Planning Function (10/7)

- a. \*Tore Sager, *Communicative Planning Theory*, chapter 2.
- b. \*Richard Klosterman, "A Public Interest Criterion", *JAPA* 46 (3), pp. 323-33 (1980).
- c. \*Martin Meyerson and Edward C. Banfield, *Politics, Planning and the Public Interest*, pp. 303-329.
- d. \*Brian Barry, *Political Argument*, pp. 173-236. (University of California press, 1990).
- e. Theodore M. Benditt, "The Public Interest," *Philosophy and Public Affairs* 2 (1972).
- f. Carl J. Friedrich (ed.), *The Public Interest* (Atherton Press, 1967), esp. chapters 8, 9, 10, 11, 16.
- g. John DiIulio, "Principled Agents: the Cultural Biases of Behavior in Federal Government Bureaucracy," *Journal of Public Administration Research and Theory* 4 (1994): 277-318.
- h. Terry Moe, "The New Economics of Organization," *American Journal of Political Science* 28 (1984): 739-77.

## 8. Power and Conflict in Planning Theory (10/14)

- a. \*Tore Sager, *Communicative Planning Theory*, Chapters 3, 4, 6.
- b. \*Steven Lukes, *Power, A Radical View* (MacMillan Press, 1983), pp. 7-57.
- c. \*John Forester, *Planning in the Face of Power*, chapter 3, pp. 27-47.
- d. Peter Bachrach and Morton S. Baratz, *Power and Poverty, Theory and Practice* (Oxford University Press, 1970).
- e. Robert A. Dahl, *Who Governs? Democracy and Power in an American City* (Yale University Press, 1961).

f. John Gaventa, *Power and Powerlessness: Quiescence and Rebellion in an Appalachian Valley* (University of Illinois Press, 1980).

g. Hannah Arendt, *On Violence* (Harcourt, Brace, and World, 1970).

**9. Planning as Social Reform (10/21)**

-What are the knowledge, normative, and institutional requirements or implicit assumptions of this tradition?

-What is the theory-practice relationship?

-For what types of problems is this planning tradition most appropriate? not appropriate?

a. \*John Friedmann, *Planning in the Public Domain* chapter 3, p. 87-136.

b. \*David Braybrooke and Charles E. Lindblom, *A Strategy of Decision*, chapter 4-6, 10.

c. \*Paul Davidoff and Thomas Reiner, "A Choice Theory of Planning" in A. Faludi (eds.) *A Reader in Planning Theory*.

d. Paul Davidoff, "Advocacy and Pluralism in Planning," *JAIP* 31 (November), 1965.

e. Harvey S. Perloff, *Education for Planning: City, State, and Regional*, (John Hopkins University Press, 1957).

f. Karl Mannheim, *Man and Society in an Age of Reconstruction*.

g. Salvador M. Padilla, *Tugwell's Thoughts on Planning* (University of Puerto Rico Press, 1975).

h. Amitai Etzioni, *The Active Society* The Free Press, 1968).

e. Donald Mazziotti, "The Underlying Assumptions of Advocacy: Pluralism and Reform," *JAIP* 40:38-48.

**10. Planning as an Optimizing Process (10/28)**

-How are Harris' and Simon's views similar? How are they different?

-What are the underlying methodological and epistemological assumptions of planning as an optimizing process?

a. \*Britton Harris, "A Fundamental Paradigm for Planning" in *Papers on Planning #1*, Department of City and Regional Planning, University of Pennsylvania, 1975.

- b. \*Herbert A. Simon, *The Sciences of the Artificial*, 2<sup>nd</sup> ed., chapters 5-7. (MIT Press, 1982).
- c. \*Britton Harris, "Bounded Rationality and Professional Practice," paper presented at the ACSP Annual Conference, Nov. 1985.
- d. *Public Administration Review*, Vol. 56 (5). A set of reviews of books on chaos theory.

**11. Planning as Social Learning and Social Mobilization (11/4)**

- How is the knowledge problem "solved"?
- What are the underlying conceptions of rationality?
- What are the institutional prerequisites?
- How is the legitimacy problem addressed?
- To what extent is the social mobilization tradition a 1960's "period piece"?
- What are the theory-practice relationships?

- a. \*John Friedmann, *Planning in the Public Domain*, chapters 5 and 6.
- b. \*Edgar S. Dunn, Jr. *Economic and Social Development*, pp. 3-36, 115-185.
- c. \*Donald Schon, *Beyond the Stable State* (W.W. Norton, 1971), chapters 6-7.
- d. \*John Forester, "Planning in the Face of Power", *JAPA* 48 (1982).
- e. \*Glen McDougall, "Theory and Practice: A Critique of the Political Economy Approach to Planning, in Healey, McDougall, Thomas (eds.), *Planning Theory Prospects for the 1980s* (Pergamon, 1982).
- f. John Friedmann, *Retracking America: A Theory of Transactive Planning* (Anchor 1973), chapters 5-8.
- g. Chris Argyris and Donald Schon, *Organizational Learning: A Theory of Action Perspective* (Addison-Wesley, 1978).
- h. Donald Michael, *On Learning to Plan and Planning to Learn* (Jossey-Bass, 1973).
- i. John Forester, "What Do Planning Analysts Do? Planning and Policy Analysis as Organizing," *Policy Studies Journal* Winter 1980-81, pp. 595-604.
- j. F.F. Piven and R. Cloward, *Poor People's Movements: Why They Succeed, How They Fail* (Vintage, 1979).
- k. Saul Alinsky, *Reveille for Radicals* (Vintage, 1969).

- l. Paulo Freire, *Pedagogy of the Oppressed* (Vintage).
- m. Paul and Percival Goodman, *Communitas* (Vintage).

**12. Reflection-in-Action (11/11)**

- a. \*Donald Schon, *The Reflective Practitioner*, chapters 1, 2, 5, 6, 7, elsewhere as interested.
- b. \*Donald Schon, *Educating the Reflective Practitioner*. (Specific chapters to be assigned.)
- c. Tore Sager, *Communicate or Calculate*, chapter 7, pp. 438-489.
- d. Martin Rein and Donald Schon, "Frame Reflective Policy Discourse," in F. Fischer and J. Forester, *The Argumentative Turn in Policy and Planning*.
- e. John Forester, "Anticipating Implementation: Policy Analysis and Planning," in D. Schon (ed.), *The Reflective Turn*.

**13. Planning as Communicative Action (11/18)**

- a. \*John Forester, *Planning in the Face of Power* (University of California Press), chapters 7-10.
- b. \*John Forester, "Understanding Planning Practice: An Empirical, Practical, and Normative Account," in J. Forester, *Critical Theory, Public Policy, and Planning Practice* (SUNY Press, 1993), pp.15-35.

**14. Planning as Argumentation (11/25)**

- a. \*John Dryzek, "From Science to Argument", in F. Fischer and J. Forester (eds.), *The Argumentative Turn in Policy and Planning* (Duke University Press, 1993).
- b. \*Harvey Goldstein, "Planning as Argumentation," *Environment and Planning B*, II, 1984, (297-312).
- c. \*Thomas J. Kaplan, "Policy Narratives" Beginnings, Middles, and Endings," in Fischer and Forester.
- d. \*Giandomenico Majone, "Policy Analysis and Public Deliberation," in G. Majone, *Evidence, Argument, and Persuasion in the Policy Process* (Yale University Press, 1989), pp.1-41.

**15. Course Wrap-Up and Evaluation (12/2)**