

**SOCIOLOGY 18710:
LAW, INNOVATION AND ENTREPRENEURSHIP**

Spring 2008; Monday 3:00-6:00
Smith-Buonanno Hall 207

Professor Mark Suchman
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Office Hours: M 11:00-12:00 & Th 2:00-3:00,
or by appointment

COURSE SUMMARY: This seminar explores the relationship between legal institutions and macro-organizational change. As the title suggests, the course devotes particular attention to the legal and organizational processes that shape (and are shaped by) the emergence of new technologies, new organizations, and new industries. Although discussions may occasionally touch on technical aspects of law and/or entrepreneurship, most topics and materials focus on the general *sociological* processes that underlie changing organizational environments.

The seminar is aimed primarily at students (both graduate and advanced undergraduate) who have some prior familiarity with the sociology of organizations; prior familiarity with the sociology of law is helpful, but not essential. Through shared and individual readings, coupled with weekly discussions and e-mail dialogues, the seminar provides an opportunity for students to refine and extend their thinking on a series of important and controversial topics at the intersection of the contemporary organizational and socio-legal literatures.

Over the course of the semester, we will explore the following topics:

UNIT I: Conceptual Foundations

Week 1 - January 28	Introduction
Week 2 - February 4	Overview: Innovation
Week 3 - February 11	Overview: Entrepreneurship
Week 4 - February 25	Overview: Law

UNIT II: Topics in Innovation

Week 5 - March 3	Innovation II: Creativity, Deviance & Learning
Week 6 - March 10	Innovation III: Path Dependence, Standard-setting & Structuration
Week 7 - March 17	Law and Innovation: Intellectual Property

UNIT III: Topics in Entrepreneurship

Week 8 - March 31	Entrepreneurship II: Founders, Culture & Sensemaking
Week 9 - April 7	Entrepreneurship III: Networks, Embeddedness & Trust
Week 10 - April 14	Law and Entrepreneurship: Lawyers, Litigation, etc.

UNIT IV: Focal Phenomena

Week 11 - April 21	New Technologies
Week 12 - April 28	New Organizations
Week 13 - May 5	New Industries

COURSE REQUIREMENTS

Participation: After the initial introductory meeting, this course will be conducted almost entirely through readings and discussions (both live and, to a limited extent, virtual). Because of this, the *single most important course requirement* is that you come to class well-prepared and participate actively once you are there. Regular attendance is, of course, crucial to this; but attendance alone is not enough. By the time you arrive at each session you should already have completed the session's assigned readings and devoted some thought to the issues that they raise. If you come to class prepared, actual participation should not be a problem.

E-mail Dialogues: To form a foundation for each week's in-class discussion, every student will be responsible for posing (by e-mail) 2 questions regarding the week's reading, and for responding by email to at least one question posed by a fellow student. Questions will be due each week by **5:00 PM Friday**, and responses will be due by **5:00 PM Sunday**.

Questions and responses should be primarily conceptual, linking themes from the readings to the topic of the week. There are no assigned lengths for these questions and responses, but none should be particularly long (after all, people will be reading quite a few of them). Most questions can be as short as a few sentences -- just enough to identify the issue and explain why it is puzzling and/or significant. And most responses can be as short as a paragraph or two. Think of your dialogue contributions as discussion-starters; they definitely need not be the final word!

Papers: Students who wish to receive a letter grade in the course must complete a 10-20 page seminar paper by **5:00 PM Monday, May 12**. In addition to the final paper, a short (1 page) paper proposal will be due before class on **Monday, March 17**, and a 3-5 page sentence outline will be due before class on **Monday, April 21**. The proposal and outline are primarily intended to facilitate early feedback, and they will not be graded; nonetheless, they are "real" assignments, and I may deduct points from the final paper grade if either of these preliminaries is late or desultory. (Of course, you should also feel free to discuss your paper plans with me informally at any point, even long before the assignments are due.)

Seminar papers should make an original sociological contribution of some sort, beyond simply reviewing previous literature. Generally, seminar papers should identify a "problem" of theoretical or empirical import and should seek to resolve that problem through creative use of course readings and supplementary research. The specific topic of the paper, however, is up to you. You may write about any facet of the intersection between law, innovation and entrepreneurship that captures your interest, provided that your subject bears a reasonably close relationship to the course material. (I reserve the right to penalize papers whose topics are inappropriate to the course material, so when in doubt, ask!) If you wish, the paper can be related to other work that you are conducting outside of the course. Nonetheless, this is a paper for *this* course, and it must thoroughly engage issues and materials from the syllabus. Papers that appear to have been written before the author encountered the course will be frowned upon.

NO-PAPER OPTION: Students may enroll on a Pass/Fail basis without writing a seminar paper. To receive a passing grade under this option, the student must (a) submit at least 10 solid sets of discussion questions and answers, and (b) participate actively in at least 10 class sessions during the semester.

A Note on Late Work: Late assignments will be penalized 1 point per business day. Although extensions may be granted in cases of unusual hardship, extensions are *not* routine. In particular, extensions will rarely be granted retrospectively, after a due date has passed.

GRADING

Grading will be based both on seminar papers and on overall seminar "citizenship" -- i.e., active discussion participation and timely submission of e-mail questions and answers. In computing final grades, these components will be weighted as follows:

E-mail Q&A:	15%
Discussion participation:	35%
Seminar papers:	50%

GENERAL GUIDELINES FOR WRITTEN ASSIGNMENTS

Assignment Format: All page lengths refer to *double-spaced* pages in a 12 point font, with one-inch margins on all sides. This converts into roughly 300 words per page. If you cannot fit your argument within the specified guidelines, try to elaborate it (if it is too short) or rephrase it (if it is too long). Do *not* attempt to meet the page limit through creative typography -- i.e., by changing fonts, line spacing, etc. If all else fails, ask permission to stretch the page limit; reasonable proposals will usually be accepted.

Assigned page lengths do not include references, but all papers should contain these when appropriate. Course readings may be cited in abbreviated form, e.g., "(Weber 1947:3-4)"; other materials should be cited in full at least once, either in a footnote or in a bibliography. Feel free to include substantive footnotes if they contribute to your argument, but be sure to count these toward your total page-length.

Papers should be carefully organized and proof-read. Repeated lapses in gender-neutrality, grammar and spelling will be frowned upon. Primarily, however, papers will be graded on the clarity, comprehensiveness, balance, insightfulness and creativity of their substantive arguments. Think before you write, and do not hesitate to discuss your ideas with me in advance.

Plagiarism: Scholarship is a collective enterprise, and it is good to situate your work in the context of what has gone before. However, you should *always* give credit to your sources, unless the point is clearly a matter of common knowledge. Most obviously, you should explicitly indicate when you are quoting from someone else's work; however, paraphrasing (e.g., changing a few words in each sentence) does *not* relieve you of the duty to cite the original author. When in doubt, err on the side of attribution! In a larger sense, you should be using other people's work to make *your own* arguments. No amount of citation justifies simply restating the views of others, unless you are synthesizing, criticizing, or expanding upon those views in some way.

(*Note:* Submitting a paper that you wrote for another course, or collaborating with another student on an individual-writing assignment also constitute plagiarism. If you have a valid educational reason to engage in either of these activities, consult the instructor for explicit permission *before* proceeding.)

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SYLLABUS
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Week 1 (January 28) -- Introduction

[No assigned readings; after reviewing the course structure, we will view the film "Start-up.com"]

Week 2 (February 4) -- Overview: Innovation

- 2.1 Damanpour, Fariborz (1991), "Organizational Innovation: a Meta-analysis of Effects of Determinants and Moderators," *Academy of Management Journal* 34(3):555-590. [skim 563-567]
- 2.2 Kanter, Rosabeth Moss (1988), "When A Thousand Flowers Bloom: Structural, Collective, and Social Conditions for Innovation in Organizations" *Research in Organizational Behavior* 10:169-211. [Reprinted in R. Swedberg, ed. (2000), *Entrepreneurship: The Social Science View*, pp. 167-210]
- 2.3 Strang, David and Sarah A. Soule (1998), "Diffusion in Organizations and Social Movements: From Hybrid Corn to Poison Pills," *Annual Review of Sociology* 24:265-290.

Optional Empirical Study

- 2.4 Hargadon, A. & Sutton, R. I. (1997), "Technology brokering and innovation in a product development firm," *Administrative Science Quarterly* 42:716-749.

Further Reading

- 2.5 Dewar, Robert D. and Jane E. Dutton (1986), "The Adoption of Radical and Incremental Innovations: An Empirical Analysis" *Management Science* 32(11):1422-1433
- 2.6 Amabile, Teresa M. (1988), "A Model of Creativity and Innovation in Organizations," *Research in Organizational Behavior* 10:123-167.
- 2.7 von Hippel, E. (1988). "Predicting the Source of Innovation," pp. 102-116 in *The Sources of Innovation* New York, NY:Oxford University Press.
- 2.8 Brown, John Seely and Paul Duguid (1991), "Organizational learning and communities-of-practice: Toward a unified view of working, learning, and innovation," *Organization Science* 2(1):40-57.
- 2.9 Abrahamson, Eric (1991), "Managerial Fads and Fashion: The Diffusion and Rejection of Innovations," *Academy of Management Review* 16:586-612.
- 2.10 Wolfe, Richard A. (1994), "Organizational Innovation: Review, Critique and Suggested Research Directions," *Journal of Management Studies* 31:405-31.
- 2.11 Drazin, Robert and Claudia Bird Schoonhoven (1996), "Community, Population, and Organization Effects on Innovation: A Multilevel Perspective," *Academy of Management Journal*, 39(5):1065-1083.
- 2.12 Chesbrough, Henry W. and David J. Teece (1996), "When is virtual virtuous? Organizing for innovation," *Harvard Business Review* January-February:65-73.
- 2.13 Glynn, Mary Ann (1996), "Innovative Genius: A Framework for Relating Individual and Organizational Intelligences to Innovation," *Academy of Management Review* 21(4):1081-1111
- 2.14 Gopalakrishnan, S. and F. Damanpour (1997), "A review of innovation research in economics, sociology and technology management," *Omega* 25(1):15-28
- 2.15 Brown, John Seely and Paul Duguid (2001), "Knowledge and Organization: A Social-Practice Perspective," *Organization Science* 12(2):198-213.
- 2.16 Whitley, R. D. (2001), "National Innovation Systems," 10303-10309 in N. J. Smelser & P. B. Baltes eds., *International Encyclopedia of the Social and Behavioral Sciences*. Oxford, UK: Elsevier.
- 2.17 Wejnert, Barbara (2002), "Integrating Models of Diffusion of Innovations: A Conceptual Framework." *Annual Review of Sociology* 28:297-326.
- 2.18 Ferlie, Ewan, Louise Fitzgerald, Martin Wood, and Chris Hawkins (2005), "The nonspread of innovations: The mediating roles of professionals," *Academy of Management Journal* 48(1): 117-134.

Week 3 (February 11) -- Overview: Entrepreneurship

- 3.1 Gartner, William B. (1985), "A Conceptual Framework for Describing the Phenomenon of New Venture Creation." *Academy of Management Review* 10(4):696-706.
- 3.2 Thornton, Patricia (1999), "The Sociology of Entrepreneurship," *Annual Review of Sociology* 25:19-46
- 3.3 Shane, Scott and S. Venkataraman (2000), "The Promise of Entrepreneurship as a Field of Research," *Academy of Management Review*, 25(1):217-226.
- 3.4 Carroll, Glenn R. and Olga M. Khessina (2005), "The Ecology of Entrepreneurship," pp. 167-200 in S.A. Alvarez, R. Agarwal & O. Sorenson eds., *Handbook of Entrepreneurship Research: Disciplinary Perspectives*. New York, NY: Springer.
- 3.5 Hwang, Hokyu and Walter W. Powell (2005), "Institutions and Entrepreneurship," pp. 201-232 in S.A. Alvarez, R. Agarwal & O. Sorenson eds., *Handbook of Entrepreneurship Research: Disciplinary Perspectives*. New York, NY: Springer.

Optional Classic

- 3.6 Schumpeter, Joseph A. (2000 [1911]), "Entrepreneurship as Innovation," pp. 51-75 in R. Swedberg ed., *Entrepreneurship: The Social Science View*. New York, NY: Oxford University Press.

Further Reading

- 3.7 Bowen, Donald D. and Robert D. Hisrich (1986), "The Female Entrepreneur: A Career Development Perspective," *Academy of Management Review* 11(2):393-407.
- 3.8 Gartner, William B. (1988), "Who Is an Entrepreneur? Is the Wrong Question," *American Journal of Small Business* 12(4):11-32.
- and --
- Carland, James W., Frank Hoy and Jo Ann C. Carland (1988), "Who is an Entrepreneur? Is a Question Worth Asking," *American Journal of Small Business*, 12(4):33-39.
- 3.9 Stevenson, Howard H. and J. Carlos Jarillo (1990), "A Paradigm of Entrepreneurship: Entrepreneurial Management," *Strategic Management Journal*, 11(S):17-27.
- 3.10 Aldrich, Howard (1990), "Using an Ecological Perspective to Study Organizational Founding Rates," *Entrepreneurship Theory and Practice* 14(3): 7-24.
- 3.11 Reynolds, P.D. (1991), "Sociology and Entrepreneurship: Concepts and Contributions," *Entrepreneurship Theory and Practice* 16(2): 47-70.
- 3.12 Bygrave, W.D. and C.W. Hofer (1991), "Theorizing About Entrepreneurship," *Entrepreneurship Theory and Practice* 16(2):13-22.
- and --
- Hofer, C.W. and W.D. Bygrave (1992), "Researching Entrepreneurship," *Entrepreneurship Theory and Practice* 16(3):91-100.
- 3.13 Gnyawali, Devi R. and Daniel S. Fogel (1994), "Environments for Entrepreneurship Development: Key Dimensions and Research Implications," *Entrepreneurship: Theory and Practice* 18:43-62.
- 3.14 Shane, S. (1996), "Explaining Variation in Rates of Entrepreneurship in the United States: 1899-1988," *Journal of Management* 22(5):747-81.
- 3.15 Busenitz, Lowell W. and Jay B. Barney (1997), "Differences between entrepreneurs and managers in large organizations: Biases and heuristics in strategic decision-making," *Journal of Business Venturing* 12(1):9-30.
- 3.16 Various (2001), "Dialogue" on Shane & Venkataraman (2000), with contributions by S. Zahra, & G.G. Dess; R.P. Singh; T. Erikson; and S. Shane & S. Venkataraman, *Academy of Management Review* 26(1):8-16.
- 3.17 Low, (2001), "The Adolescence of Entrepreneurship Research: Specification of Purpose.," *Entrepreneurship: Theory and Practice* 25(3):17-25.
- 3.18 Shane, Scott and Jonathan Eckhardt (2003), "The Individual Opportunity Nexus," pp. 161-191 in Z.J. Acs & D.B. Audretsch eds., *Handbook of Entrepreneurship Research: An Interdisciplinary Survey and Introduction*. New York, NY: Springer.
- 3.19 Gartner, William B and Nancy M. Carter (2003), "Entrepreneurial Behavior and Firm Organizing Processes," pp. 195-221 in Z.J. Acs & D.B. Audretsch eds., *Handbook of Entrepreneurship Research: An Interdisciplinary Survey and Introduction*. New York, NY: Springer.
- 3.20 Cooper, Arnold (2003), "Entrepreneurship: The Past, the Present, the Future," pp. 21-34 in Z. Acs & D. Audretsch eds., *Handbook of Entrepreneurship Research: An Interdisciplinary Survey and Introduction*. New York: Springer.
- 3.21 McMullen, Jeffery S. and Dean A. Shepherd (2006), "Entrepreneurial Action and the Role of Uncertainty in the Theory of the Entrepreneur," *Academy of Management Review* 31(1):132-152.

Week 4 (February 25) -- Overview: Law

- 4.1 Suchman, Mark C. (2001), "Organizations and the Law," pp. 10948-10954 in N.J. Smelser & P.B. Baltes (eds.) *International Encyclopedia of the Social and Behavioral Sciences*. Oxford: Pergamon.
- 4.2 Campbell, John L. & Leon N. Lindberg (1990), "Property Rights and the Organization of Economic Activity by the State," *American Sociological Review* 55:634-647.
- 4.3 Suchman, Mark C., Daniel Steward and Clifford Westfall (1998), "The Legal Environment of Entrepreneurship: Observations on the Legitimation of Venture Finance in Silicon Valley," pp. 349-382 in C. Schoonhoven & E. Romanelli (eds.), *The Entrepreneurship Dynamic*. Palo Alto, CA: Stanford University Press.
- 4.4 Carol Heimer (1999), "Competing Institutions: Law, Medicine, and Family in Neonatal Intensive Care" *Law & Society Review* 33:17-66. **[skip or skim pp. 25-60]**
- 4.5 Edelman, Lauren B. (2004), "Overlapping Fields and Constructed Legalities: the Endogeneity of Law." [working paper; School of Law, University of California at Berkeley]
- 4.6 Bagley, Constance E. (2005), "Winning Legally: The Value of Legal Astuteness." [working paper; Division of Research, Harvard Business School]

Optional Classic

- 4.7 Stigler, George J. (1971), "The Theory of Economic Regulation," *Bell Journal of Econ.* 2:3-21.

Optional Textbook

- 4.8 Bagley, Constance E. and Craig E. Dauchy (2003), *The Entrepreneur's Guide to Business Law, 2nd edition*. Mason, OH: West Legal Studies in Business.

Further Reading

- 4.9 Friedman, L. M., R. W. Gordon, S. Pirie and E. Whatley (1989), "Law, Lawyers, and Legal Practice in Silicon Valley: A Preliminary Report," *Indiana Law Journal* 64:555-567.
- 4.10 Barney J. B., F. L. Edwards & A. H. Ringleb (1992), "Organizational Responses to Legal Liability: Employee Exposure to Hazardous Materials, Vertical Integration, and Small Firm Production," *Academy of Management Journal* 35:328-49.
- 4.11 Hobbs, Steven (1997), "Toward a Theory of Law and Entrepreneurship," *Capital University Law Review* 26:241-299.
- 4.12 Milhaupt, Curtis J. (1997), "The Market for Innovation in the United States and Japan: Venture Capital and the Comparative Corporate Governance Debate," *Northwestern University Law Review* 91:865-??.
- 4.13 Jaffe, Adam B. and Karen Palmer (1997), "Environmental Regulation and Innovation: A Panel Data Study," *Review of Economics and Statistics* 79(4):610-619
- 4.14 Dobbin, Frank and Timothy J. Dowd (1997), "How Policy Shapes Competition: Early Railroad Foundings in Massachusetts," *Administrative Science Quarterly* 42(3):501-529.
- 4.15 Wade, James B., Anand Swaminathan and Michael S. Saxon (1998), "Normative and Resource Flow Consequences of Local Regulations in the American Brewing Industry, 1845-1918," *Administrative Science Quarterly* 43:905-935.
- 4.16 Djankov, Simeon, Rafael La Porta, Florencio Lopez-De-Silanes and Andrei Schleifer (2002), "The Regulation Of Entry," *Quarterly Journal of Economics* 117(1):1-37.
- 4.17 Kaplan, Steven N. and Per Strömberg (2003), "Financial Contracting Theory Meets the Real World: An Empirical Analysis of Venture Capital Contracts," *Review of Economic Studies* 70(2):281-315.
- 4.18 Suchman, Mark C. (2003), "The Contract as Social Artifact," *Law & Society Review* 37 (1):91-142.
- 4.19 Fan, Wei and Michelle J. White (2003), "Personal Bankruptcy and the Level of Entrepreneurial Activity," *Journal of Law and Economics* 46:543-567.
- 4.20 Gilson, Ronald J. (2003), "Engineering a Venture Capital Market: Lessons from the American Experience," *Stanford Law Review* 55:1067-92.
- 4.21 Katz, Michael L. and Howard A. Shelanski (2005), "'Schumpeterian' Competition and Antitrust Policy in High-Tech Markets," *Competition* 14(2):47-??
- 4.22 Lee, Seung-Hyun, Mike W. Peng, and Jay B. Barney, (2007), "Bankruptcy Law and Entrepreneurship Development: a Real Options Perspective," *Academy of Management Review* 32(1):257-272.
- 4.23 Smith, D. Gordon and Darian M. Ibrahim (2008, forthcoming), "Entrepreneurs on Horseback: Reflections on the Organization of Law" *Arizona Law Review* 50:??-???

Week 5 (March 3) – Innovation II: Creativity, Deviance & Learning

- 5.1 Woodman, Richard W., John E. Sawyer, and Ricky W. Griffin (1993), "Toward a Theory of Organizational Creativity," *Academy of Management Review* 18(2):293-321.
- 5.2 Drazin, Robert, Mary Ann Glynn, and Robert K. Kazanjian (1999), "Multilevel Theorizing about Creativity in Organizations: A Sensemaking Perspective," *Academy of Management Review* 24(2):286-307.
- 5.3 Jackall, Robert (1983), "Moral Mazes - Bureaucracy and Managerial Work," *Harvard Business Review* 61 (5): 118-130.
- 5.4 Vaughan, Diane (1999), "The Dark Side of Organizations: Mistake, Misconduct, and Disaster," *Annual Review of Sociology* 25:271-305. [skim or skip pp. 292-299 on "Disaster"]
- 5.5 Levinthal, Daniel, A. and James G. March (1993), "The Myopia of Learning," *Strategic Management Journal* 14:95-112.

Optional Empirical Study

- 5.6 Sutton, Robert I. and Andrew Hargadon (1996), "Brainstorming Groups in Context: Effectiveness in a Product Design Firm," *Administrative Science Quarterly* 41(4):685-718.

Further Reading**Creativity:**

- 5.7 Amabile, Teresa M. (1988), "A model of creativity and innovation in organizations," *Research and Organizational Behavior* 10:123-167.
- 5.8 Scott, Susanne G. and Reginald A. Bruce (1994), "Determinants of Innovative Behavior: A Path Model of Individual Innovation in the Workplace," *Academy of Management Journal* 37(3):580-607.
- 5.9 Oldham, Greg R. and Anne Cummings (1996), "Employee Creativity: Personal and Contextual Factors at Work," *Academy of Management Journal* 39(3):607-634.
- 5.10 Glynn, Mary Ann (1996), "Innovative Genius: a Framework for Relating Individual and Organizational Intelligences to Innovation," *Academy of Management Review* 21(4):1081-1111.
- 5.11 Ford, Cameron M. (1996), "A Theory of Individual Creative Action in Multiple Social Domains," *Academy of Management Review* 21(4):1112-1142.
- 5.12 Perry-Smith, Jill E. and Christina E. Shalley (2003), "The Social Side of Creativity: a Static and Dynamic Social Network Perspective," *Academy of Management Review* 28(1):89-106.

Deviance:

- 5.13 Victor, Bart and John B. Cullen (1988), "The Organizational Bases of Ethical Work Climates," *Administrative Science Quarterly* 33(1):101-125.
- 5.14 Robinson, Sandra L. and Rebecca J. Bennett (1995), "A Typology of Deviant Workplace Behaviors: A Multidimensional Scaling Study," *Academy of Management Journal* 38(2):555-572.
- 5.15 Conley, John M. and William M. O'Barr (1997) "Crime and Custom in Corporate Society: A Cultural Perspective on Corporate Misconduct," *Law and Contemporary Problems* 60(3/4):5-22.
- 5.16 Vaughan, Diane (1998), "Rational Choice, Situated Action, and the Social Control of Organizations." *Law and Society Review* 32(1):23-61.
- 5.17 Wells, Don, Alison Donnell, Adrian Thomas, Melanie Mills and Mark Miller (2006), "Creative Deviance: A Study of the Relationship between Creative Behavior and the Social Construct of Deviance," *College Student Journal* 40(1):74-77.

Learning:

- 5.18 Fiol, C. Marlene and Marjorie A. Lyles (1985), "Organizational Learning," *Academy of Management Review* 10(4):803-813.
- 5.19 Levitt, Barbara and James G. March (1988), "Organizational Learning," *Annual Review of Sociology* 14:319-340.
- 5.20 Cohen, Wesley M. and Daniel A. Levinthal (1990), "Absorptive capacity: A new perspective on learning and innovation," *Administrative Science Quarterly* 35(1):128-152.
- 5.21 March, James G. (1991), "Exploration and Exploitation in Organizational Learning," *Organization Science* 2(1):71-87.
- 5.22 Dodgson, Mark (1993), "Organizational Learning: A Review of Some Literatures," *Organization Studies* 14(3):375-394.
- 5.23 Lewis, Laurie K. (1993), "Innovation Modification during Intraorganizational Adoption," *Academy of Management Review* 18(2):322-354
- 5.24 Bikhchandani, Sushil, David Hirshleifer and Ivo Welch (1998), "Learning from the Behavior of Others: Conformity, Fads, and Informational Cascades," *Journal of Economic Perspectives* 12(3):151-170.
- 5.25 Easterby-Smith, Mark, Mary Crossan, and Davide Nicolini (2000), "Organizational Learning: Debates Past, Present And Future," *Journal of Management Studies* 37(6):783-796.

Week 6 (March 10) – Innovation III: Path Dependence, Standard-setting & Structuration

- 6.1 Arthur, W. Brian (1990), "Positive Feedbacks in the Economy," *Scientific American* 262(2):92-99.
- 6.2 Stango, Victor (2004), "The Economics of Standards Wars," *Review of Network Economics* 3(1):1-19. **[for the theorist]**
- or --
- Shapiro, Carl and Hal R. Varian (1999), "The Art of Standard Wars," *California Management Review* 41(2), 8-32. **[for the practitioner]**
- 6.3 Kahan, Marcel and Michael Klausner (1997), "Standardization and Innovation in Corporate Contracting (Or "The Economics of Boilerplate")," *Virginia Law Review* 83(4):713-770. **[skip or skim pp. 740-760, "Empirical Analysis"]**
- 6.4 Brunsson, Nils and Bengt Jacobsson (2000), "The Contemporary Expansion of Standardization," pp. 1-17 in Brunsson & Jacobsson (eds.) *A World of Standards*. Oxford: Oxford Press.
- 6.5 Yates, JoAnne (1997), "Using Giddens' Structuration Theory to Inform Business History," *Business and Economic History* 26(1):159-183.

Optional Classics

- 6.6 DiMaggio, Paul J., Powell, Walter W. (1983), "The Iron Cage Revisited: Institutional Isomorphism and Collective Rationality in Organizational Fields," *American Sociological Review*, 48:147-160.
- 6.7 Giddens, Anthony (1984), "Elements of the Theory of Structuration," pp. 1-40 in *The Constitution Of Society: Outline Of The Theory Of Structuration*. Berkeley, CA: Univ. CA Press.

Further Reading**Path Dependence:**

- 6.8 David, Paul A. (1985), "Clio and the Economics of QWERTY," *American Economic Review*, 75:332-7.
- 6.9 Arthur, W. Brian (1989), "Competing Technologies, Increasing Returns, and Lock-in by Historical Events," *Economic Journal* 99:116-131. [skip or skim 123-126, 128-131]
- 6.10 Liebowitz, S.J. and Stephen E. Margolis (1994), "Network Externality: An Uncommon Tragedy," *Journal of Economic Perspectives* 8(2):133-150.
- 6.11 Liebowitz, S.J. and Stephen E. Margolis (1995), "Path Dependence, Lock-in, and History," *Journal of Law, Economics, & Organization* 11(1):205-226.
- 6.12 Bikhchandani, Sushil, David Hirshleifer and Ivo Welch (1998), "Learning from the Behavior of Others: Conformity, Fads, and Informational Cascades," *Journal of Economic Perspectives* 12(3):151-170.

Standardization:

- 6.13 Katz, Michael L. and Carl Shapiro (1985), "Network Externalities, Competition, and Compatibility," *American Economic Review* 75(3):424-440.
- 6.14 Farrell, Joseph and Garth Saloner (1985), "Standardization, Compatibility, and Innovation," *RAND Journal of Economics* 16(1):70-83.
- 6.15 Katz, Michael L. and Carl Shapiro (1986), "Technology Adoption in the Presence of Network Externalities," *The Journal of Political Economy* 94:822-841.
- 6.16 Katz, Michael L. and Carl Shapiro (1994), "Systems Competition and Network Effects," *J.Econ.Perspec.* 8(2):93-116.
- 6.17 Besen, Stanley M. and Joseph Farrell (1994), "Choosing How to Compete: Strategies and Tactics in Standardization," *Journal of Economic Perspectives*, 8(2):117-131.
- 6.18 Klausner, Michael (1995), "Corporations, Corporate Law, and Networks of Contracts," *Va. Law Rev.* 81(3):757-852.
- 6.19 Abbott, Kenneth W. and Duncan Snidal (2001), "International 'Standards' and International Governance," *Journal of European Public Policy* 8(3):345-370.
- 6.20 Mattli, Walter and Tim Buthe (2003), "Setting International Standards: Technological Rationality or Primacy of Power?" *World Politics* 56(1):1-42.
- 6.21 Biggart, Nicole Woolsey and Thomas D. Beamish (2003), "The Economic Sociology of Conventions: Habit, Custom, Practice, and Routine in Market Order," *Annual Review of Sociology* 29:443-464.

Structuration:

- 6.22 Giddens, Anthony (1991), "Structuration Theory: Past, Present and Future," chapter 8 in C. Bryant & D. Jary (eds.), *Giddens' Theory Of Structuration: A Critical Appreciation*. New York: Routledge.
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Week 8 (March 31): Entrepreneurship II: Founders, Culture & Sensemaking

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- 8.2 Meyerson, Debra and Joanne Martin (1987), "Cultural Change: an Integration of Three Different Views," *Journal of Management Studies* 24(6):623-647.
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Week 10 (April 14): Law and Entrepreneurship: Lawyers, Litigation & Legalism

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Week 11 (April 21): New Technologies

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Week 12 (April 28): New Organizations

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- 12.2* Phelps, Robert, Richard Adams and John Bessant (2007), "Life Cycles of Growing Organizations: a Review with Implications for Knowledge and Learning," *International Journal of Management Reviews* 9(1):1-30.
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- 12.4 Baron, James N., M. Diane Burton and Michael T. Hannan (1999), "Engineering Bureaucracy: the Genesis of Formal Policies, Positions, and Structures in High-technology Firms," *Journal of Law, Economics, and Organization* 15(1):1-41. **[Skip or skim pp. 9-29]**

Optional Classic

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- 12.17 Schoonhoven, Claudia Bird, Kathleen M. Eisenhardt and Katherine Lyman (1990), "Speeding Products to Market: Waiting Time to First Product Introduction in New Firms," *ASQ* 35:177-207.
- 12.18 Gersick, Connie (1994), "Pacing Strategic Change: The Case of a New Venture," *AMJ* 37:9-45.
- 12.19 Burton, M. Diane (2001), "The Company They Keep: Founders' Models for Organizing New Firms," pp. 13-39 in C. Schoonhoven & E. Romanelli (eds.), *The Entrepreneurship Dynamic*. Palo Alto, CA: Stanford University Press.

Hotbed Locales:

- 12.20 Reynolds, Paul, David J. Storey and Paul Westhead (1994), "Cross-National Comparisons of the Variation in New Firm Formation Rates," *Regional Studies* 28(4):443-456.
- 12.21 Romanelli, Elaine and Claudia B. Schoonhoven (2000), "The Local Origins of New Firms," pp. 40-67 in C. Schoonhoven & E. Romanelli (eds.), *The Entrepreneurship Dynamic*. Palo Alto, CA: Stanford University Press.
- 12.22 Armington, Catherine and Zoltan J. Acs (2002), "The Determinants of Regional Variation in New Firm Formation," *Regional Studies* 36(1):33-45.
- 12.23 Stuart, Toby E. and Olav Sorenson (2003), "Liquidity Events and the Geographic Distribution of Entrepreneurial Activity," *Administrative Science Quarterly* 48(2):175-201.

Week 13 (May 5): New Industries

- 13.1 Carroll, Glenn R. and Michael T. Hannan (1989), "Density Dependence in the Evolution of Populations of Newspaper Organizations," *American Sociological Review* 54(4):524-541.
- 13.2* Aldrich, Howard and C. Marlene Fiol (1994), "Fools Rush In? The Institutional Context of Industry Creation," *Academy of Management Review* 19(4):645-670.
- 13.3 Spencer, Jennifer W., Thomas P. Murtha and Stefanie Ann Lenway (2005), "How Governments Matter to New Industry Creation," *Academy of Management Review* 30(2):321-337.
- 13.4 Hargrave, Timothy J. and Andrew H. Van de Ven (2006), "A Collective Action Model of Institutional Innovation," *Academy of Management Review* 31(4):864-888.

Read any one of the following empirical studies:

- 13.5* Lounsbury, Michael, Marc J. Ventresca and Paul M. Hirsch, (2003), "Social Movements, Field Frames and Industry Emergence: A Cultural-Political Perspective on US Recycling" *Socio-Economic Review* 1:71-104.
- 13.6* Maguire, Steve, Cynthia Hardy and Thomas B. Lawrence (2004), "Institutional Entrepreneurship in Emerging Fields: HIV/AIDS Treatment Advocacy in Canada," *Academy of Management Journal* 47(5):657-679.
- 13.7* Lawrence, Thomas B. and Nelson Phillips (2004), "From Moby Dick to Free Willy: Macro-Cultural Discourse and Institutional Entrepreneurship in Emerging Institutional Fields," *Organization* 11(5):689-711.

Further Reading**New Organizational Populations:**

- 13.8 Rao, Hayagreeva (1994), "The Social Construction of Reputation: Certification Contests, Legitimation and the Survival of Organizations in the American Automobile Industry, 1895-1912," *Strategic Management Journal* 15(S2):29-44.
- 13.9 Hannan, Michael T., Glenn R. Carroll, Elizabeth A. Dundon & John C. Torres (1995), "Organizational Evolution in a Multinational Context: Entries of Automobile Manufacturers in Belgium, Britain, France, Germany, and Italy," *American Sociological Review* 60:509-528.
- 13.10 Barron, David N. (1999), "The Structuring of Organizational Populations," *American Sociological Review* 64(3):421-445.
- 13.11 Aldrich, Howard E. and Martha Martinez (2003), "Entrepreneurship as Social Construction: A Multi-level Evolutionary Approach," pp. 359-399 in Z.J. Acs & D.B. Audretsch eds., *Handbook of Entrepreneurship Research: An Interdisciplinary Survey and Introduction*. New York, NY: Springer.

New Organizational Forms:

- 13.12 Romanelli, Elaine (1991), "The Evolution of New Organizational Forms," *Annual Review of Sociology* 17:119-134.
- 13.13 Rueda, David and Calvin Morrill and Mayer N. Zald (2000), "Power Plays: How Social Movements and Collective Action Create New Organizational Forms" *Research in Organizational Behavior* 22:239-282.
- 13.14 Ruef, Martin (2000), "The Emergence of Organizational Forms: A Community Ecology Approach," *AJS* 106(3):658-714.
- 13.15 Swaminathan, Anand and James Wade (2001), "Social Movement Theory and the Evolution of New Organizational Forms," pp. 286-313 in C. Schoonhoven & E. Romanelli (eds.), *The Entrepreneurship Dynamic*. Palo Alto, CA: Stanford University Press.
- 13.16 Pólos, László, Michael T. Hannan and Glenn R. Carroll (2002), "Foundations of a Theory of Social Forms," *Industrial and Corporate Change* 11(1):85-115.

New Institutional Fields:

- 13.17 DiMaggio, Paul J. (1991), "Constructing an Organizational Field as a Professional Project: U.S. Art Museums, 1920-1940," pp 267-292 in W.W. Powell and P.J. DiMaggio (eds), *The New Institutionalism in Organization Analysis*. Chicago: University of Chicago Press.
- 13.18 Lawrence, Thomas B. (1999), "Institutional Strategy," *Journal of Management* 25:161-187.
- 13.19 Beckert, Jens (1999), "Agency, Entrepreneurs, and Institutional Change: The Role of Strategic Choice and Institutionalized Practices in Organizations," *Organization Studies* 20:777-799.
- 13.20 Hoffman, Andrew J. (1999), "Institutional Evolution and Change: Environmentalism and the U.S. Chemical Industry," *Academy of Management Journal* 42(4):351-371.
- 13.21 Clemens, Elisabeth S. James M. Cook (1999), "Politics and Institutionalism: Explaining Durability and Change," *Annual Review of Sociology* 25:441-466.
- 13.22 Fligstein, Neil (2001), "Social Skill and the Theory of Fields," *Sociological Theory* 19(2):105-125.
- 13.23 Greenwood, Royston, Roy Suddaby and C. R. Hinings (2002), "Theorizing Change: the Role of Professional Associations in the Transformation of Institutionalized Fields," *Academy of Management Journal* 45(1):58-80.
- 13.24 Seo, Myeong-Gu and W.E. Douglas Creed (2002), "Institutional Contradictions, Praxis, and Institutional Change: A Dialectical Perspective," *Academy of Management Review* 27(2):222-247.
- 13.25 Garud, Raghu, Sanjay Jain and Arun Kumaraswamy (2002), "Institutional Entrepreneurship in the Sponsorship of Common Technological Standards: the Case of Sun Microsystems and Java," *AMJ* 45:196-214.
- 13.26 Phillips, Nelson, Thomas B. Lawrence, and Cynthia Hardy (2004), "Discourse and Institutions," *AMR* 29(4):635-652.
- 13.27 Silvia Dorado (2005), "Institutional Entrepreneurship, Partaking, and Convening," *Organization Studies* 26(3):385-414.
- 13.28 Levy, David and Maureen Scully (2007), "The Institutional Entrepreneur as Modern Prince: The Strategic Face of Power in Contested Fields," *Organization Studies* 28(7):971-991.