Public Affairs 6000 (section 5476)
Public Policy Formulation and Implementation
Fall 2015
4 Credit Hours

Tuesday, Thursday, 9.35 – 11.15 a.m.
Page Hall 060

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Email: raadschelders.1@osu.edu
Office hours: before class or by appointment
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Office hours: Thursday 12 – 2 p.m., or by appointment (rm.240a)

Course Overview
This course aims at familiarizing you with the public policy process, including how the process of making policy affects and is affected by the substance of policy. The class is structured around three components: theories and concepts (week 1-6), the policy system (week 7-14), and policy evaluation and reform (week 15-16).

Student Learning Goals and Objectives
By the end of the course, students should be able to:
• Understand different frameworks and theories that have been used to describe the policy process and its component parts;
• Describe important structures and interactions that are situated at different levels in the policy system (policy field, organization and frontlines);
• Be familiar with diverse sources of authority in a policy system, including formal rules and regulations as well as more informal sources of authority stemming from culture and public values; and
• Identify and analyze areas for potential improvement during policy implementation.

Course Description
Regardless of where one sits in the policy system, there are opportunities to create change—intentionally and unintentionally. This course aims to familiarize students with the public policy process, equipping students with analytical frameworks and practical tools to improve their engagement with the process through their work as elected public officials, public agency managers, nonprofit executives, policy analysts, street-level service providers and/or participatory citizens.

The first component of the course (weeks 1-6) will equip students with terminology and frameworks to help make sense of the complex moving parts that make up the policy and implementation system. Like a natural ecosystem, the policy system is made up different
structures (institutions), rules that govern interactions (formal and informal), and individual agency (behaviors and interactions). Just as ecologists learn how to classify different species of plants and animals and investigate natural laws, informed actors in the policy process can benefit from a shared understanding of how to make sense of the complex policy ecosystem.

The second component of the course (weeks 7-14) zeros in on three different levels of the policy ecosystem: policy fields, organizations and frontlines. Policy processes cut across all levels of the system, but different structures and interactions come into focus at different levels. Skilled policy actors understand how to move within and across levels to facilitate change. While the policy field is certainly important to shape laws and regulations, operationalization of policies takes place through institutions (organizations), each with their own systems and dynamics. And, the end targets of policies experience the policy through the frontlines of the system, which can make or break the “intended” outcomes.

Finally, the third component of the course (weeks 15-16) concludes with an exploration of policy evaluation and reform. While we will not have time to delve into all of the possible tools to analyze and evaluate policies (that is a course in and of itself), students will be provided with some basic exploratory tools that can be used to classify different types of outcomes that evolve from policy implementation, and assess areas for potential improvement within the system around a particular policy or program intervention.

**BASIS FOR ASSESSMENT**

The graded components in this course include: (1) a group presentation of a substantive policy area; a policy paper consisting of three cumulative deliverables around a selected public policy or program of the student’s choosing, including a (2) policy identification brief, (3) policy field map, and (4) policy implementation analysis; and (5) participation during in class activities and class discussion. Each of the course components, and their contribution to the final grade, is discussed in detail below.

Grade Distribution:

- Policy Area Presentation (Group): 10%
- Policy Identification Brief: 15%
- Policy Field Map: 15%
- Policy Implementation Analysis: 40%
- In Class Activities & Class Participation: 20%

Transformation of numerical grade to a letter grade will be according to the schedule below:

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<tr>
<th>Grade</th>
<th>Numerical Range</th>
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<tr>
<td>A</td>
<td>93-100</td>
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<td>A-</td>
<td>90-92.9</td>
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<td>B</td>
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August 19, 2015, p2
Grades on assignments are intended to reflect the overall quality of performance of the student. You may appeal your grade on an assignment if you think the grade does not reflect the quality of your performance on the assignment. To appeal a grade, submit a clear explanation in writing that describes why you believe the assigned grade is inappropriate within one week after your work is returned. I will carefully consider all such appeals. If I re-grade the assignment, I will re-grade the entire assignment. As a result, the final grade for the re-graded assignment may be greater than, less than, or equal to the original grade.

**DESCRIPTIONS OF GRADED ASSIGNMENTS**

**Policy Area Presentation**
By the 2nd week of class, four to five students will be grouped together around a particular policy area. During the 5th and 6th weeks of class, each group will present an overview of their particular policy area. Each group presentation should be about 30 minutes in length, leaving about 20 minutes for discussion. The presentation should clearly outline the policy area including:

(a) the public problems this area is meant to address,
(b) examples of policy types in this policy area,
(c) common “tools of governance” in use in this policy area, and
(d) current policy alternatives being considered within the policy area.

Group presentations will be evaluated on both the content of the presentation as it relates to the four substantive areas indicated above (80% total, at 20% each), as well as the delivery of the content (20%). Students are encouraged to have “mixed media” presentations that may include brief power point slides or other presentation media, but should also include video clips or news articles, group activities or simulations, and/or other activities to engage the class in the presentation.

**Policy Identification Brief**
By the 4th week of class, each student will identify one particular policy or program at the federal, state, or local level that is of interest to her/him that will serve as their “unit of analysis” for the remainder of the semester. The policy or program the student selects should fall under the general umbrella of the policy area group presentation. By the 7th week of class, the student will submit a “policy identification brief” related to their selected policy or program. Building from the more general group presentation on the particular policy area, the policy identification brief should clearly outline a particular public policy or program, including:

(a) the public problem that the specific policy or program is intended to address,
(b) an identification of the policy type and policy tools in use to govern the implementation of the particular policy or program; and
(c) a brief description of the development of the policy or program (e.g., where and how it originated), as well as current challenges or proposed changes. In your description, include an application of one (or more) policy framework(s) that can help make sense of how the policy or program developed and has been implemented over time.

The policy identification brief should be about 4-6 pages, double spaced, 12 point Times New Roman font, 1” margins. A final Reference List or End Notes will not count towards the 6 page limit for this assignment. In addition to being evaluated on the three content areas above (20%,
20% and 40%, respectively), the policy brief will be evaluated for attention to detail, including: spelling, grammar, appropriate use of references and general readability (20%).

**Policy Field Map**

By the 10th week of class, and building from their policy identification brief, students will create a policy field map for their selected policy or program. As defined by Sandfort and Moulton (pp.133-134 and Appendix B), a policy field map is a visual illustration of the institutions and relationships in a policy field. As you can expect, most policy areas and challenges involve multiple levels of government and multiple actors in the public, nonprofit and private sectors. The policy field map should include and identification of institutions involved with your particular policy or program as well as their relationship to the policy or program. This assignment should include the following components:

(a) an identification of the appropriate institutions related to the policy or program, including level of government as well as organizational type, and their relationship to the policy or program area (e.g., funding, legal accountability, service linkages, purveyor);

(b) a visual representation of the institutions and their relationships that illustrates the items in (a), above; and

(c) a written summary of the forces in the policy field that structure the public service intervention, including your own assessment of the most powerful actors and influences, and how these institutions constrain and enable change over time.

The policy field map should be about 4-6 pages, double spaced, 12 point Times New Roman font, 1” margins. This includes a one page visual diagram, and 2-4 pages of text description. In addition to being evaluated on the three content areas above (10%, 40% and 30%, respectively), the policy brief will be evaluated for attention to detail, including: spelling, grammar, appropriate use of references and general readability (20%).

**Policy Implementation Analysis**

The final deliverable is a culminating assignment building on the student’s prior deliverables, to be submitted in the penultimate week of class. For this assignment, students will analyze the implementation and outcomes of the policy or program (see Sandfort and Moulton, Appendix G), and propose recommended strategies for future improvement. Specifically, the assignment should include the following components:

(a) identification of the indicators of implementation effectiveness for the policy or program, including process results as well as outcomes;

(b) assessment of the points of variation in the implementation of the policy or program at the level of the policy field, organization and frontlines (e.g., do different organizations implementing the policy or program have different outcomes? do outcomes vary based on the individuals or processes at the frontline?);

(c) analysis of the possible reasons for the observed variation in implementation, linking back to the varying sources of authority (identified in the policy field map); and

(d) recommendations for improvement, including strategies that target both technical and adaptive challenges.

The policy implementation analysis should be about 12-16 pages, double spaced, 12 point Times New Roman font, 1” margins. The inclusion of prior deliverables such as the policy field map should be placed in an Appendix, and will not count against the page limit. A final Reference
List or End Notes will not count towards the 8 page limit for this assignment. In addition to being evaluated on the four content areas above (20% for each component), the policy implementation analysis will be evaluated for attention to detail, including: spelling, grammar, appropriate use of references and general readability (20%).

**In-Class Activities & Class Participation**

The purpose of this assignment is to help you reflect on course material in relation to current events. For ten weeks, starting the second week, you need to write a brief description of how some concept in the prescribed readings or as discussed in class relates to current events or to some policy issue of interest to you. There will be no discussion papers in weeks 5 and 6 (group presentations), week 10 (field map discussions), and week 14 (Thanksgiving). The paper is due on Tuesday, and will be part of discussion on Thursday. The discussion of week 8 (Thursday, October 15, is fall break) will take place on the Tuesday in week 9. This comprises 10% of the final grade.

**Required Format:** 0.5-1 page, single-spaced, Times Roman 12 pt. font, 1” margins. Late work is not accepted, unless in case of a family or health reason.

In addition to in-class activities, participation in class is required. While trite, what you take away from this course will be a direct function of the effort you put forth inside and outside of class. While voluntary contribution is preferred, you can expect that you may be called upon at any time. After each class, the instructor will take notes on students’ contributions to the class session. Class participation comprises 10% of the final grade. **If you do not attend class, it is impossible to receive credit for class participation.**

Effective class contribution entails providing good answers to questions. Effective comments add to our understanding of the underlying conceptual material, challenge and clarify the ideas expressed by others, integrate material from past classes or other courses, and show evidence of analysis rather than mere opinion or “gut feeling”. Effective responses demonstrate that you have thought deeply about the material and can develop creative and innovative insights through this analytic effort.

The instructor will be available to read a draft of the deliverables, but will only comment upon its substantive content and not on the quality of writing. Grading, however, will include syntax, grammar, spelling, and punctuation. Typos, inconsistencies, punctuation and apostrophe errors, misspellings (e.g., do to the circumstances, steakholders, the write thing to do, weather she is able, this is boaring, I am board, look over hear, professor, its really wrong, it’s content is wrong, etc., etc.) and the like are not acceptable in a graduate class and will result in a full letter-grade reduction. **For all assignments, late work will be accepted with a one-third-letter grade penalty each day that it is late (e.g., A- to B+)**

**READINGS**

The assigned readings will mainly come from the Sandfort/Moulton text. Other readings will be uploaded in Carmen. I may also send links to articles as the semester progresses. The Peters and Birkland texts are optional. Used versions are available online.

**Required Text**
Recommended Text

Optional Texts

SCHEDULE
Note: Readings must be completed by the date next to which they are listed (* = required reading; SM = Sandfort/Moulton; GP = Peters; TB = Birkland).

Part I Theories and Concepts

Week 1: Introduction to the Policy Process
August 25: Introduction to class; discussion of policy areas: education; health care; social welfare; energy and environment (incl. water); taxation; protective policy (justice, police, military); urban and economic development, infrastructure and transportation.
-supplemental reading: GP ch.1
August 27: Discussion of reading Gardens of Democracy; Prof. David Lincove on library resources.
Reading from Gardens of Democracy ch.1
Supplemental:
-GP ch.1

Week 2: Models of Policy Making Process and Theories of Policy Types
September 1: Models of the Policy Making Process
Readings:
-SM ch.2
(GP pp.47-50)
Dividing class into eight groups, with each group for a specific policy area; students can suggest a different policy area.

September 3: Theories of Policy Types
Discussion of weekly reflection paper

Supplemental reading:
- GP pp.50-58; TB ch.7

Week 3: Legitimization and Policy Tools
September 8: Theories of Legitimation
Discussion of weekly reflection paper
- GP chs.5 entirely and 17 pp. 481-499

September 10: Policy Tools
Discussion of weekly reflection paper

Supplemental reading:
- GP pp. 6-13, 467-481, ch.7

Week 4: Models of the Policy Formulation and Implementation Process
September 15: Theories of Decision Making
Discussion of weekly reflection paper
- GP pp.50-58, TB 53-59)
Each student will provide her/his policy identification brief

September 17: Models of the Policy Formulation and Implementation Process
Discussion of weekly reflection paper

Supplemental reading:
- GP ch.3
One additional reading on a particular policy process model (assigned in class):
Week 5: Presentations of Substantive Policy Areas  
September 22: two groups (50 minutes each: presentation and Q&A)  
September 24: two groups (50 minutes each: presentation and Q&A) 

Week 6: Presentations of Substantive Policy Areas  
September 29: two groups (50 minutes each: presentation and Q&A)  
October 1: two groups (50 minutes each: presentation and Q&A) 

Part II The Policy System  

Week 7: The Policy (Design-Implementation-Analysis) System  
Policy Topic Identification Due  
October 6: Politicians and Civil Servants  
-SM ch.3  
Supplemental reading:  
-GP pp.117-130)  
October 8: Citizens, Interest Groups, and Networks  
Discussion of weekly reflection paper  
-SM ch.3 (GP pp. 58-62; TB ch.5)  
Video Brief: https://www.youtube.com/embed/Fm5eksqosXo 

Week 8: Policy Fields- Structures and Actors  
October 13: Policy Fields and Organizational Networks  
-SM ch.4  
Supplemental reading:
Week 9: Policy Fields - Processes (Agenda Setting & Policy Design)

October 20: Policy Processes: Agenda Setting
Discussion of weekly reflection paper (from week 8)
- Supplemental reading:
  - Collective Impact Resources: [http://collectiveimpactforum.org/resources](http://collectiveimpactforum.org/resources)
- GP pp.65-70, 75-93; TB ch.5

Discussion of weekly reflection paper

Week 10: Policy Field Maps Due

October 27: in-class discussion and sharing of policy field maps
October 29: in-class discussion and sharing of policy field maps

Week 11: Organizations: Structures and Actors

November 3: The Public Sector in its Societal Context
Supplemental reading:
- GP pp.13-21 and ch.2

November 5: Organizations as Potting Shed
Discussion of weekly reflection paper
- SM ch.5
Supplemental reading:
- GP pp.140-144; TB ch.9


**Week 12: Organizations: Programming Policies into Action**

- **November 10:** Planning
- SM appendix C


- Supplemental reading:
- GP pp.137-138

- **November 12:** Organizational technology

Discussion of weekly reflection paper


- Supplemental reading:
- GP pp.137-138


**Week 13: Frontlines of the System: The Role of Street Level Bureaucrats**

- **November 17:** Implementation: Success, Neglect, and Failure

SM ch.6

- Supplemental reading:
- GP pp.140-144; TB ch.9

- **November 19:** The Role of Street Level Bureaucrats

Discussion of weekly reflection paper

- SM ch.6


Supplemental reading:
Week 14: **Frontlines of the System: Target Group Experiences**

November 24:


Supplemental reading:

November 26: Thanksgiving

**Part III Policy Evaluation and Reform**

Week 15: **Policy Analysis/Evaluation**

December 1: Policy Analysis


Supplemental reading:
- GP Ch. 8

**Policy implementation analysis is due**

December 3: Policy Evaluation

Discussion of weekly reflection paper


Week 16: **Learning in Policy Systems**

December 8:

- SM ch.8

**IMPORTANT INFORMATION**
ACADEMIC INTEGRITY (ACADEMIC MISCONDUCT)

The Ohio State University and the Committee on Academic Misconduct (COAM) expect that all students have read and understand the University’s Code of Student Conduct, and that all students will complete all academic and scholarly assignments with fairness and honesty. Failure to follow the rules and guidelines established in the University’s Code of Student Conduct may constitute “Academic Misconduct.” Sanctions for the misconduct could include a failing grade in this course and suspension or dismissal from the University. In the Ohio State University’s Code of Student Conduct, Section 3335-23-04 defines academic misconduct as: “Any activity that tends to compromise the academic integrity of the University, or subvert the educational process.” Examples of academic misconduct include (but are not limited to) plagiarism, collusion (unauthorized collaboration), copying the work of another student, and possession of unauthorized materials during an examination. Ignorance of the University’s Code of Student Conduct is never considered an “excuse” for academic misconduct. If you have any questions about the above policy or what constitutes academic misconduct in this course, please contact me.

Grade Appeals
Grades on assignments are intended to reflect the overall quality of performance of the student. You may appeal your grade on an assignment if you think the grade does not reflect the quality of your performance on the assignment. To appeal a grade, submit a clear written explanation describing why you believe the assigned grade is inappropriate within one week after your work is returned. I will carefully consider all such appeals. If I re-grade the assignment, I will re-grade the entire assignment. As a result, the final grade for the re-graded assignment may be greater than, less than, or equal to the original grade.

ADA Statement
Students who have documented any learning disabilities with the Office of Disability Services are encouraged to meet with the course instructors to discuss arrangements for any approved accommodations. Students requiring modified versions of written materials (large print, Braille, tape, etc.), class modifications (e.g. American Sign Language), or an alternate format for submission of written materials, please privately contact one of the instructors. Every effort will be made to work with you to accommodate your specific learning needs. Please contact the Office of Disability Services at 292-3307 (or ods@osu.edu) if you have any questions. The address is: 150 Pomerene Hall, 1760 Neil Avenue. Weblink at http://www.ods.ohio-state.edu.

Mental Health Statement
As a student you may experience a range of issues that can cause barriers to learning, such as strained relationships, increased anxiety, alcohol and/or drug problems, feeling down, difficulty concentrating and/or lack of motivation. These mental health concerns or stressful events may lead to diminished academic performance or reduce your ability to participate in daily activities. The Ohio State University offers services to assist you with addressing these and other concerns you may be experiencing. If you or someone you know is suffering from any of these aforementioned conditions, you can learn more about the broad range of confidential mental health services available on campus via the Office of Student Life Counseling and Consultation Services (CCS) by visiting ccs.osu.edu or calling 614-292-5766. CCS is located on the 4th Floor of the Younkin Success Center and 4th Floor of the PAES Building. 24 hour emergency help is also available through the National 24/7 Prevention Hotline at 1-800-273-TALK or at suicidepreventionlifeline.org.

**Religious Holidays**

Absence can be excused for religious observances and students can reschedule without penalty examinations and additional required class work that may fall on religious holidays.