THE OHIO STATE UNIVERSITY

JOHN GLENN COLLEGE OF PUBLIC AFFAIRS

Public Policy Formulation and Implementation (PA 6000, section 28271)

(4 credit hours)

COURSE SYLLABUS
Fall 2018
Tuesday/Thursday, 9:05-10:55 am
Mendenhall 191

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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/subsystem. Like a natural ecosystem, the policy system/subsystem 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 7-10) 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.

The third component of the course (weeks 11-13) provides an exploration of **policy analysis and policy learning**. 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.

The final component of the course (weeks 14-15) is dedicated to exploring the context in which governing in general and policy making specifically occurs with attention for characteristics of what is governed (i.e., society), who is being governed (i.e., citizens and residents), and who governs (elected and appointed public officeholders. The last day of class, December 4 (week 16), will be used to reflect through class discussion upon the position and role of government in a democracy. Students will then also be filling out the Glenn College's written evaluation form.

COURSE OBJECTIVES

By the end of the course, students should be able to:

1: Understand different frameworks and theories that have been used to describe the policy process and its component parts;

2: Describe important structures and interactions that are situated at different levels in the policy system/subsystem (policy field, organization and frontlines);

3: Be familiar with diverse sources of authority in a policy system/subsystem, including formal rules and regulations as well as more informal sources of authority stemming from culture and public values; and

4: Identify and analyze areas for potential improvement during policy implementation.

As a core course in the policy stream, PA 6000 corresponds to "NASPAA Curriculum Goal 2: The ability to participate in and contribute to the policy process". Specifically, PA 6000 addresses seven of the program learning objectives (PLO) in Glenn College: including:

Policy 1 - Apply knowledge of the foundations of public affairs (law, policy, administration, and management) in appropriate contexts (Serves as introduction and overview of the curriculum)

Policy 2 - Describe the environmental context of public problem solving

Policy 3 - Identify the basic elements of the public policy process

Policy 4 - Know how to use the policy process to advance the public interest.

Policy 5- Understand the connections between public problems, policy content, policy systems and public programs

Policy 6- Evaluate how differences in policy content and systems contribute to policy outputs and outcomes.

Policy 7- Know and apply basic policy analysis tools

CLO 1 corresponds to PLO Policy 1, 2 and 3. CLO 2 corresponds to PLO Policy 5. CLO 3 corresponds to PLO Policy 2, 3 and 5. CLO 4 corresponds to PLO Policy 4, 6 and 7.

REQUIREMENTS AND EXPECTIONS

This course is offered in the in-class version, with the course materials and assignments being similar to those used in the hybrid version. In order to succeed in this class, students are required to carefully digest the readings, slides, videos, and audios prior to class. The interactions in the in-class sessions will depend heavily on students' mastery of the materials in Carmen.

1: **Readings:** For each week, there will be required readings that are relevant for the course content. These readings are either from the required textbook or available for download from Carmen. Students are expected to read the required readings before coming to class.
2: **Videos:** In some of the weeks, students may be required to watch videos. These videos take between 30 to 60 minutes and serve as a basis for in-class discussions.
3: **Cases:** During the week without videos, there may be cases for students to read and analyze. These cases will be posted on Carmen.
4: **Group Activities**: Students will work in groups and engage in in-class group discussions.
Each week's detailed course contents are available in the syllabus or Carmen (click "**Modules**" for each week's materials).

COURSE TEXTBOOKS

- REQUIRED: Jodi Sandfort and Stephanie Moulton. 2015. Effective Implementation in Practice: Integrating Public Policy and Management. San Francisco: Jossey-Bass.
- OPTIONAL: Eugene Bardach. 2011. Practical guide for policy analysis: the eightfold path to more effective problem solving. Sage.
- OPTIONAL: B. Guy Peters. 2013. American Public Policy: Promise and Performance. Washington, D.C.: CQ Press

*All other reading materials will be posted to Carmen.

Students can access textbook information via the Barnes & Noble bookstore website: www.shopOhioState.com as well as from their BuckeyeLink Student Center. This information is disseminated by B&N to all area bookstores. You may buy from a store of your choice and/or shop for books (always use ISBN# for searches) online.

GRADING AND COURSE REQUIREMENTS

The graded components in this course include: (1) a **policy paper** consisting of three cumulative deliverables around a selected public policy 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 discussion, and *most importantly the online activities*. Each of the course components, and their contribution to the final grade, is discussed in detail below.

Grade Distribution:

Policy Identification Brief:	20%
Policy Field Map:	15%
Policy Implementation Analysis:	35%
Class participation:	30%

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

A	93-100	B+	87-89.9	C+	77-79.9	D+	67-69.9
A-	90-92.9	B	83-86.9	C	73-76.9	D	60-66.9
B-	80-82.9	C-	70-72.9	E	< 60		

Graded Course Components:

Policy Identification Brief (20% of overall grade)

Each student will identify one particular policy at the federal, state, or local level that is of interest to them that will serve as their "unit of analysis" for the remainder of the semester. Based upon their individual interests, they are then grouped together around a common theme. By September 21, students will submit a "policy identification brief" related to their selected policy. The policy identification brief should clearly outline a particular public policy, including:

(a) the public problem that the specific policy is intended to address (including a brief description of the target population and the geographic scope) (20%),
(b) an identification of the policy type and policy tools in use to govern the implementation of the particular policy (20%); and
(c) a brief description of the development of the policy (e.g., where and how it originated), as well as current challenges or proposed changes (40%), and
(d) writing quality (20%).

The policy identification brief should be about 4-6 pages (**<u>no more than 6 pages</u>**), double spaced, 1 inch margin, 12 point Times New Roman font. A final Reference List or End Notes will not count towards the 3-page limit for this assignment. In addition to being evaluated on the three content areas above (20%, 20% and 40%, respectively), the policy identification brief will be evaluated for attention to detail, including: spelling, grammar, appropriate use of references and general readability (20%).

With regard to writing quality, grading includes attention for 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, proffessor, proffesser, its really wrong, it's content is wrong, relivant, explination, case study's, regestration, entusiasm, excepting an offer, practicle examples, aplication, discribtions, principle-agent theory, dimention, heirarchy, charasmatic, I except your offer, the shear amount, interperate, bueracracy, bureacratic, to intervine, implimentation, to inforce, to recieve, cordination, dilligance, reprocutions, to outway, faillure, excitment, resorces, stimmulation, summarys, quizes, etc., etc.) and the like are not acceptable.

Also: when referring to people use 'who'; when writing about things use 'that'; numbers up to twelve are written as a word, 13 and up are written as a number; do not mix present and past tense in one section; do not mix singular and plural in one sentence; check statements you hear in the news for their correctness and provide sources that confirm or question such statements.

The student can ask the instructor to read the draft of an assignment, but the instructor will only comment on its substantive content.

Policy Field Map (10% overall grade)

Building from their policy identification brief, students will create a policy field map for their selected policy. 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 an identification of institutions involved with your particular policy as well as their relationship to the policy. This assignment should include the following components:

(a) an identification of the appropriate institutions related to the policy, including level of government as well as organizational type, and their relationship to the policy area (e.g., funding, legal accountability, service linkages, purveyor) (10%);
(b) a visual representation of the institutions and their relationships that illustrates the items in (a), above (40%);
(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 (30%), and
(d) writing quality (20%).

The policy field map should be about 4-6 pages (**<u>no more than 6 pages</u>**), double spaced, 12 point Times New Roman font. This includes a one page visual diagram, and 1-2 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%) (see for more detail re. writing quality under the policy identification brief)
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Policy Implementation Analysis (30%)
The final deliverable is a culminating assignment building on the student's prior deliverables. For this assignment, students will analyze the implementation and outcomes of the policy (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, including process results as well as outcomes;
(b) assessment of the points of variation in the implementation of the policy 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 policy field map; and
(d) recommendations for improvement, including strategies that target both technical and adaptive challenges.

The policy implementation analysis should be about 10 pages (**<u>no more than 14 pages</u>**) double spaced, 12 point Times New Roman font. 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 10 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%) (see for more detail on writing quality, under policy identification brief).

In-Class Group Activities, Discussions, and Presentations (30%)
Course lectures and class discussion will be supplemented with a variety of in-class activities during the course of the semester. The purpose of the in-class activities is to provide a direct application of class materials to a real-world scenario, through case studies, simulations,

exercises and interactive exchange. Several times, students will be broken into groups for the activities, and sometimes will be asked to turn-in a group deliverable, or report-out their experiences at the end of class. Class activities comprise 30% of the final grade and are based on ten papers the students will write in response to questions related to readings/videos of that week. Each individual paper will be 1-2 pages, double-spaced, and is to be submitted on the day of the class discussion. Each group paper will be graded on substance (70%, by instructor) and on fellow-student evaluation (30%) (e.g., my fellow students – each identified by name - contributed fully in the preparation of the paper and presentation on a scale of 0 – 13, with 13 worth 30 points, 11 – 25 points, 9 – 20 points etc.).

Effective class contribution entails providing thoughtful answers to questions. Effective comments add to 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. Participation in the group activities during class is assessed on the evaluation of fellow students in your respective groups.

Students are expected to spend at least 8 hours each week (2 hours per credit hour) preparing for class (i.e., read/watch materials in Carmen). This course builds heavily on these preparations, and thus students are required to finish these activities before the class each week.

There are a total of 12 in-class activities. The students will receive individual grades for each of these, but can at the end of the semester indicate which 10 s/he wishes to be counted as the 30% of the grade.

Class Schedule

Part I: Theories and Concepts

Week 1:
Introduction to Public Policy

August 21:
Introduction to class
Objectives: getting to know each other and course expectations
Students: e.g., BA-degree, work experience, why MPA/MA, career desires, etc.
Instructor: teaching and research interests
Expectations: what do you seek/hope to get out of this course; what you can expect from instructor, what he expects from you
Video: Jos C.N. Raadschelders, A Reconceptualization of Government, posted April 6, 2018 at https://youtu.be/wNm4GrmOcUQ (on why we cannot do without government), 13.01 minutes.

Divide class in six groups (for group presentations and discussions of Sept.6, Sept.20, Sept.27, Oct.4, Oct.18, Oct.25, Nov, 1, Nov.8)

August 23:

Lecture Public Policy: definitions and nature

Objectives: After this week the student will be familiar with

1. Definition of Public Policy,
2. The meaning of public policy for community building
3. Wicked policy problems
4. The extent to which policy making is a value-laden activity

Readings/videos:

1. Andersen 2003: Chapter 1 Introduction to Public Policy (Carmen);
1. Amy Hanauer, The Influence of Policy. TED talk, posted May 15, 2015, at https://www.youtube.com/watch?v=iBRxl3Klhj0 (on difference that public policy can make in a community, in this case in Ohio), 17.28 minutes;
2. Vasiliki Bednar, Making Public Policy More Fun. TED talk, posted April 29, 2013, at https://www.youtube.com/watch?v=wXYSsA5yVSY (on wicked problems), 7.20 minutes;
3. Nicholas Charney, Understanding and Changing Public Policy. TED talk, posted November 12, 2011, at https://www.youtube.com/watch?v=wYKulHItoeg, 13.27 minutes.

9.05 – 9.55: Lecture on definitions and nature of public policy

10.00 – 10.55: Class discussion based on your thoughts (prepared at home, make notes prior to class) about the following two questions:

1. Is it important to study public policy? Why/why not? (you can use Hanauer's TED talk to start developing your contribution);
2. Are there public policy areas that we should and/or need to study more than others? (you can use Bednar's and Charney's TED talk to inform your contribution).

Due: discussion paper 1 (1 page)

Week 2:
Typologies of Policies

Objectives: After this week the student is familiar with

1. Different ways in which policies can be categorized,
2. Different theories of public policy

Readings/video's:

1. Sandfort/Moulton: ch.2
2. Peters (10th ed.): ch.3.
3. Courtney Rhodes, Public Policy, posted March 16, 2014, at https://www.youtube.com/watch?v=-dAflRiw88E (on steps of the policy process, policy as linear process) 12.44 minutes.

<u>August 28</u>:
Lecture on categories and theories of public policy (Lowi; typologies of policy)

<u>August 30</u>:
Class discussion based on your thoughts about the following question:

Some theories emphasize that the (political) process follows structure and substance (problem at hand), while other theories focus on structure and substance following the political process. In the case of the latter, what is considered the problem at hand is determined via political debate that includes elected officeholders as well as interest groups, lobbyists, etc. Provide one example of a policy that is determined by process, and one example of a policy that is more determined by the structure and substance of a problem. Write up your choices and provide rationale for each.

Due: discussion paper 2 (1-2 pages)

Week 3:
Tools of Government

Objectives: by the end of this week the student will be familiar with
1. Tools of government
2. Types of government intervention
3. Application and evaluation of tools in relation to a specific policy area
4. Difficulties in defining what exactly a public policy problem is and then determine the best tool

Readings/videos:
1. Sandfort/Moulton: ch. 4 (regarding policy fields as a tool for visualizing interconnectedness of actors)
2. Peters: pp.5-12 and ch.7;
3. Carolyn Steel, How Food Shapes our Cities, at http://www.bestmastersprograms.org/top-10-ted-talks-for-public-administration-students/, 15.33 minutes.
2. Howard McCurdy, power point presentation, tools, at http://www.google.com/url?sa=t&rct=j&q=&esrc=s&source=web&cd=15&ved=0ahUKEwjfrYqa8_vRAhWl0YMKHcE2CGsQFghfMA4&url=http%3A%2F%2Ffaculty.washington.edu%2Fmccurdy%2F6.ppt&usg=AFQjCNG5cZPTTYtcrcJex-Kd2QZXHoqmoQ .

September 4:
Lecture on typologies of government tools (30 minutes).
Prepare elevator presentations with power points (80 minutes) (pretend you are presenting to an audience of legislators) about a current local, state, or federal public problem of your interest (e.g., human trafficking, high nitrate levels in Columbus's drinking water; migration control at the border, etc.). Appoint a spokesperson to present the results in class and invite comments from the rest of the class.

Discuss:

a. What causes this problem?
b. What tools or interventions could be used to alleviate the problem?

September 6:
Six elevator presentations with power points; each presentation about 5 minutes, class discussion and Q&A about 10 minutes.

Evaluate the tool in terms of a) effectiveness, b) efficiency, c) equity, d) manageability, e) legitimacy and political feasibility, and f) what are the limitations of the tool? Record the cause, the proposed intervention and an evaluation of the tool.

Due: group papers (5-6 pages) (will individually count as paper 3)

Week 4:
The Policy Formulation and Implementation Process

Objectives: In this week the student will become familiar with
1. The distinction between knowledge of and in policy processes,
2. Challenges of agenda setting,
3. Traditional, sequential approach to the policy formulation process,
4. Challenges of policy implementation

Readings/videos:
1. Sandfort/Moulton: chs. 1 and 3
2. Peters: ch. 4
3. Check out the materials provided on https://paulcairney.wordpress.com/tag/defining-evidence/, posted February 22, 2017, about evidence-based policy making;
4. Watch TED talk by Alisa Miller on influence of media in general: https://www.ted.com/talks/alisa_miller_shares_the_news_about_the_news/transcript?language=en, posted March 2008, 4.28 minutes.
5. Watch TED talk on participatory democracy by Beth Novik, former CTO at the White House at https://www.ted.com/talks/beth_noveck_demand_a_more_open_source_government, posted June 2012, 17.23 minutes.

September 11:
Lecture on theories of policy formulation and implementation

September 13:
Class discussion based on your thoughts about the following issue. Policies should predominantly be based on facts, and much less on (personal) opinion or (personal) judgment. Policy is shaped throughout the entire policy process: do you find that the media have too much or too little influence? Elaborate your answer. The last several decades there have been discussions of increasing citizen participation in the policy making process. For instance, participatory budgeting is the effort to directly involve citizens in determining the appropriation of part of a (usually municipal) budget to their neighborhood. Describe the advantages and disadvantages of participatory democracy.

Due: discussion paper 4 (1-2 pages).
Due: policy identification brief.

Week 5:
Policy Process Frameworks I: Punctuated Equilibrium & Multiple Streams

Objectives
1. To understand Punctuated Equilibrium Framework (PE) and be able to apply PE to a particular policy issue.
2. To understand Multiple Streams Framework (MS) and to apply it to a practical policy issue.

Readings/videos:
Punctuated Equilibrium Framework (Available for download from Carmen):
1. Jones, B. D., & Baumgartner, F. R. (2012). From there to here: Punctuated equilibrium to the general punctuation thesis to a theory of government information processing. Policy Studies Journal, 40(1), 1-20.
2. "Punctuated equilibrium in Biology." https://www.youtube.com/watch?v=qSjiFxIHknk, (2 minutes)
2. "Punctuated equilibrium: an introduction." by Prof. Frank Baumgartner. https://www.youtube.com/watch?v=jX2ecS7ri2I&t=171s, (4 minutes)
3. "Punctuated equilibrium: applications.". by Prof. Frank Baumgartner. https://www.youtube.com/watch?v=TGABaUMonuQ, (10 minutes)

Multiple Streams Framework (Available for download from Carmen):
4. Kingdon, John (1995). "How Does and Idea's Time Come? Agendas, Alternatives and Public Policies." In Classics of Public Administration, 7th edition 454-459.
5. "Multiple Streams Approach: An introduction." (8 minutes). by Professor Nicolaos Zahariadis. https://www.youtube.com/watch?v=JUlvyBVoJiI&list=PLs8aCB-o36JuO7rIh_dJWI5QJJihpb16F,
6. "Multiple Streams Approach: Applications". (4.5 minutes). by Professor Nicolaos Zahariadis. https://www.youtube.com/watch?v=jTzwuNUFhbw&index=2&list=PLs8aCB-o36JuO7rIh_dJWI5QJJihpb16F.
7. "Kingdon's 3 streams". (7.5 minutes). by Kathryn Dow https://www.youtube.com/watch?v=s-wIyS-hFNI&list=PLs8aCB-o36JuO7rIh_dJWI5QJJihpb16F&index=3.

September 18:
Lecture on models of policy making (on some that will not be further discussed in weeks 5 and 6; e.g., Simon on bounded rationality, Dror on normative-optimum model, Etzioni on mixed scanning, Lindblom on incrementalism, Ostrom on IAD, etc.) (40 minutes);

Preparing elevator presentation (70 minutes). Work in groups, and use the policy problem of your choice (For example: the legislation of affordable care act, or gun control policies etc.) and use multiple streams framework to analyze the policy process. Address the following questions in the presentation and paper:

1. What are the policy problems in the policy area? (Problem stream)
2. What are the policy solutions being discussed in the policy area (Policy Stream)
3. What are the political climate (party control of the presidency, governorship, legislature at federal, state and local levels) surrounding this issue?
4. Are there policy entrepreneurs in the process? If so, who is/are he/she/they?
5. Do you observe a punctuated equilibrium in this policy area? Why or why not?

6. Have focusing events happened that open a policy window for policy solution?
7. Describe the process through which policy problem is addressed in your policy area, by presenting how policy entrepreneurs make use of timing and external events to couple the three independent streams (problem, policy and politics).
8. Select a representative for each group and be ready to do a 5-minute oral presentation followed by 10 minutes of Q & A.

<u>September 20</u>:
Six elevator presentations with power points (pretend you are presenting to an audience of legislators). Each presentation will be 5 minutes, followed by 10 minutes Q&A.

Due: group papers (5-6 pages) (will individually count as paper 5)

Week 6:
Policy Process Frameworks II: Social Constructivism and Advocacy Coalitions Framework

Objectives
1. To understand the theory of social constructivism
2. To understand and apply advocacy coalitions and their role in the policy process

Readings/videos/podcast:
Social Constructivism: (Available for download from Carmen):
1. Schneider, A., & Ingram, H. (1993). Social construction of target populations: Implications for politics and policy. American Political Science Review, 87(02), 334-347.
2. Policy Concepts in 1000 Words: the Social Construction of Target Populations. Instructions: students can choose to listen to the 7 minute podcast, or read the 1000-word descriptions. https://paulcairney.wordpress.com/2016/01/08/policy-concepts-in-1000-words-the-social-construction-of-target-populations/

Advocacy Coalition Framework (ACF): (Available for download from Carmen):
3. Sabatier, P. A. (1988). An advocacy coalition framework of policy change and the role of policy-oriented learning therein. Policy sciences, 21(2-3), 129-168.
4. Policy Concepts in 1000 Words: The Advocacy Coalition Framework. Instructions: students can choose to listen to the 13 minute podcast, or read the 1000-word descriptions.
5. Advocacy coalition framework. (5 minutes)
https://www.youtube.com/watch?v=vAzAzpprBbs
6. Advocacy coalition framework: a very basic guide
https://www.youtube.com/watch?v=qmephNm4fvM, (5 minutes)
https://paulcairney.wordpress.com/2013/10/30/policy-concepts-in-1000-words-the-advocacy-coalition-framework/

<u>September 25</u>:
Lecture on Ostrom's IAD framework and (neo-)institutional theory (40 minutes);

Prepare elevator presentations with power points (pretend you are presenting to an audience of legislators). Work in groups, and pick a policy problem in a specific policy area (For example: the legislation of affordable care act, or gun control policies etc.) and use the Advocacy Coalition Framework and Social Constructivism to analyze the policy process (70 minutes). Address the following questions in the presentation and paper:

1. What are the key policy actors (organizations or individuals) in your policy area?
2. Do they influence policies through individual effort or collaborate with other organizations or individuals? Do they form advocacy coalitions to influence policies in a collective way? If so, what are their partners?
3. What are the major advocacy coalitions in the policy area? Are there two competing coalitions with relatively equal power and influence, or are there one dominant coalition and one smaller challenger coalition?
4. What are the core beliefs of the advocacy coalitions involved in your policy area?
5. What are the secondary beliefs of the advocacy coalitions involved in your policy area?
6. Have you observed changes in coalition membership over the years? That is, the flipping of an organization from one coalition to another coalition.
7. Have policies changed in your policy area? If so, what are the likely reasons? (tips: external shock; internal shock; policy learning; negotiated agreement)
8. How are the policy actors socially constructed in your policy area? What groups are perceived positively by the policy makers? What groups are perceived negatively? What resources are available to groups to challenge or reinforce that image?
9. Select a representative for each group and be ready to do a 5-minute oral presentation followed by 10 minutes of Q & A.

<u>September 27</u>:
Six elevator presentations: each 5 minutes, followed by 10 minutes of Q&A.

Due: group papers (5-6 pages) (will individually count as paper 6)

<u>Part II: Implementation in the Policy Subsystem/System</u>

Week 7:
Policy Fields: Structures and Actors

Objectives
1. To understand how each policy is implemented through a nested implementation system, including policy fields, organizations, and frontlines.
2. To understand the concept of a policy field
3. To be prepared for in-class activities with “Healthy Hunger Free Kids Act” case
4. To be prepared to create a policy field map in class

Readings
Required

1. Sandfort and Moulton: Introduction to Part II, Chapter 4, and Appendix A & B
2. Evans, Susan and Peter Clarke (2011). Disseminating Orphan Innovations, *Stanford Social Innovation Review*. Winter: 42-47.
3. Case materials for the "Healthy Hunger Free Kids Act"

Supplemental
4. Birkland, Thomas A. (2011). *An Introduction to the Policy Process. Theories, Concepts, and Models of Public Policy Making*. 3rd edition. Routledge. Chapters 4 & 5 "Official (and Unofficial) Actors and Their Roles in Public Policy."
5. Sandfort, Jodi, and Melissa Stone (2008.) Analyzing policy fields: Helping students understand complex state and local contexts. *Journal of Public Affairs Education*: 129-148.
6. Stone, Melissa M., and Jodi R. Sandfort (2009). Building a policy fields framework to inform research on nonprofit organizations. *Nonprofit and Voluntary Sector Quarterly* 38: 1054-1075.

Read/Watch Case Background Materials
Healthy Hunger Free Kids Act
1. Watch Huber video brief background on the implementation system:
https://www.youtube.com/embed/Fm5eksqosXo
2. Listen to NPR story about the "Healthy Hunger Free Kids Act":
https://www.wnyc.org/radio/#/ondemand/529805
3. Read supplementary materials about the reaction by different stakeholder groups.
a. Read the TIME article about Schools turning down the program:
http://healthland.time.com/2013/08/29/why-some-schools-are-saying-no-thanks-to-the-school-lunch-program/
4. Read the "Introduction" and relevant section for your assigned school in the document, "Putting Local School Wellness Policies into Action: Stories from School Districts and Schools."
https://www.cdc.gov/healthyyouth/npao/pdf/251553_SchoolWellnessInAction_Final_508_Ready_508tagged.pdf

Assignment
Conduct a "policy field audit" (following the instructions in Appendix A in Sandfort and Moulton) for your assigned school. Bring a copy of your audit to class. You may need to do a bit of background research (online) to learn more about the school and school district in order to answer some of the questions. It is OK to make assumptions based on the information provided in the case.

October 2:
Brief lecture on policy fields and IGC, IGR, and IGM (30 minutes)
Group Activity (75 min)

a. Break into groups based and select a "school" (six groups)
b. develop a policy field audit and come to an agreement on the important institutions that emerge (from Steps 1 and 2) (20 minutes)
c. Discuss Frontline Interactions Audit (25 min)
d. Create a policy field map on the white paper to represent the policy field for your school's implementation of the Act. Use Appendix B in Sandfort and Moulton as a guide (35 minutes)

October 4:
Reporting the policy field audits back/compare and contrast
a. Each group should briefly summarize their policy field map for the class
b. As a class, compare and contrast differences in field maps between schools, and identify reasons for the differences (drawing on the concepts from the readings and lecture)

Due: policy field audit (2-3 pages) (will individually count as paper 7)

Week 8:
Organizations and Networks

Objectives
1. To understand the role of the organization in the policy implementation process
2. To be familiar with reasons for state level differences in the implementation of a federal policy (administered through a block grant)
3. To be prepared to work with a TANF case activity in class

Readings
Required
1. Sandfort and Moulton; Chapter 5 & Appendix C
2. Case: "How States Use Federal and State Funds under the TANF Block Grant," by the Center on Budget and Policy Priorities, October 15, 2015.
3. Read Policy Background Materials
Case: TANF Federal Block Grant Program to States
1. First, familiarize yourself with the policy background of the TANF program, including the work requirements and state discretion for implementation:
http://www.cbpp.org/research/family-income-support/how-states-use-federal-and-state-funds-under-the-tanf-block-grant
2. Second, select two states in the U.S. (of your choosing) for comparison; for each state, click on and read the additional information provided in the State Fact Sheets:
http://www.cbpp.org/research/family-income-support/state-fact-sheets-how-states-have-spent-funds-under-the-tanf-block
3. Third, find the state websites for the two state TANF programs you've identified (search "state name" and "TANF"). Keep the websites nearby as you respond to the questions below.

Supplemental:
a) Organizations:
1. Peters, Guy (2012). *American Public Policy: Promise and Performance*. Washington, D.C.: CQ Press; Chapter 6, "Organizations and Implementation."
b) Agency Rulemaking:
1. Yackee, Susan Webb (2006). Sweet-talking the fourth branch: The influence of interest group comments on federal agency rulemaking. *Journal of Public Administration Research and Theory*. 16.1: 103-124.

Assignment

Provide responses to the following questions on the designated location on Canvas.

1. Identify the policy decisions that are specified in federal TANF legislation, and the policy decisions that are left to states. You will find this information on the CBPP website.
2. Looking at the two states you identified for comparison:

   a. What organizations are involved in the implementation of the state TANF programs? Identify both authorizing and service delivery organizations. How do the organizations involved vary between the states?

   b. What sort of variation do you observe between the two states in how they carry out their TANF programs? How do they allocate their funding (differently)? How do work requirements vary between the states?

   c. In your assessment, what are the factors that may contribute to the differences you observe in the state use of TANF funds between states?

   d. How do you think the differences in state level implementation of TANF programs affect outcomes for the individuals receiving services?

<u>October 9</u>:

Lecture on organizations and networks (30 minutes)

Discussion responses to the TANF questions/state comparisons (10 min)

Group Activity: Construct Program Process Flow Diagrams for the state of Washington's WorkFirst program (the TANF program in Washington)

   a. Each group will be assigned to one of three scenarios for their program process flow, where they will be maximizing a different goal: (1) "Efficiency First Initiative"; (2) "Jobs First Initiative"; or (3) "Earnings First Initiative" (50 minutes)

   b. Class wrap-up- compare and contrast process flow diagrams and reasons for differences observed (20 min)

Due: discussion paper 8 (1-2 pages double spaced)

<u>October 11</u>: fall break

Week 9:

Frontlines: Street Level Bureaucrats

Objectives

1. To understand how a state-level policy results in different applications at the front lines
2. To be prepared for in-class discussion on the TANF Program case
3. To be prepared to conduct a frontline interaction audit in class

Readings

Required

1. Sandfort and Moulton Chapter 6
2. Sandfort and Moulton Appendix E

3. Keiser, Lael R. (2001). Street-level Bureaucrats, Administrative Power and the Manipulation of Federal Social Security Disability Programs. *State Politics and Policy Quarterly* 1(2):144-164.
4. Review Case - Welfare Reform in Washington State

Supplemental:
5. Lipsky, Michael "Street Level Bureaucracy: The Critical Role of Street-Level Bureaucrats." In *Classics of Public Administration*, 7th edition 412-419.
6. Heather C. Hill (2003). Understanding Implementation: Street-Level Bureaucrats Resources for Reform. *Journal of Public Administration Research and Theory*. 13: 265-282.
7. Scott, Patrick G. (1997). Assessing determinants of bureaucratic discretion: An experiment in street-level decision making. *Journal of Public Administration Research and Theory* 7.1: 35-58.

<u>October 16</u>:
Lecture on street level ~ and policy bureaucracy (45 min)
Discuss Welfare Reform in Washington State. In groups, fill out the Frontline Interactions Audit using the Welfare Reform in Washington State (60 min)

<u>October 18</u>:
Plenary presentations and discussion of Frontline Interactions Audit; each presentation is 5 minutes followed by 10 minutes Q&A.

Due: group paper Frontline Interaction Audit (counts as individual paper 9)

Week 10:
Frontlines: Target Group Experiences

Objectives
1. To be prepared to discuss backward mapping
2. To be prepared to discuss target groups and behavioral economics
3. To be prepared to present apolicy based on backward mapping

Readings
Required
1. Weaver, Kent (2009)."Target Compliance: The Final Frontier of Policy Implementation," *Issues in Governance Studies*, 1-11.
2. Thaler, R. and Case Sunstein (2009). *Nudge: Improving Decisions about Health, Wealth and Happiness*. New York: Penguin Books. Chapter 1 (Introduction 1-14); Chapter 5 (Choice Architecture 83-102).

Supplemental:
1. Tony Bovaird (2007). Beyond Engagement and Participation: User and Community Coproduction of Public Services. *Public Administration Review*. September – October: 846-860.
2. Amir, On et al. (2005). Psychology, behavioral economics, and public policy. *Marketing Letters* 16: 443-454.

3. Thaler, Richard H., and Cass R. Sunstein (2003). Libertarian paternalism. *American Economic Review*: 175-179.
4. Case: Hubert Video Brief - Backwards Mapping (5 min)
https://www.hubertproject.org/hubert-material/349/

October 23: Lecture on forward/backward mapping and behavioral economics/psychology (40 minutes);
Develop in your group a policy based on backward mapping. (70 min)

October 25: group presentations of policy (5 minutes each, followed by 10 minutes of Q&A)

Due: group paper of backward mapped policy (counts as individual paper 10)

Due on October 25: Policy Field Map

Part III: Policy Analysis

Week 11:
Policy Analysis Part I: A Practical Guide

Objectives
1. To understand the basic concepts of policy analysis
2. To be able to apply Bardach's eight steps of policy analysis
3. To be prepared to engage in class activities related to policy analysis surrounding climate change policy alternatives

Readings
Required
1. Weimer, David and Aidan Vining (2005). What is Policy Analysis? In Policy Analysis: Concepts and Practices, 4th edition. 23-38.
2. Bardach, Eugene (2012). A Practical Guide for Policy Analysis. Part I: The Eightfold Path. Pgs 1-82.
3. Case: "Confronting Climate Change: A Teaching Case in Policy Design and Analysis" (from Electronic Hallway)

Supplemental
4. Peters, Guy (2012). *American Public Policy: Promise and Performance*. Washington, D.C.: CQ Press; Chapter 8, "Evaluation and Policy Change."
5. Weimer, David (2002). Enriching Public Discourse: Policy Analysis in Representative Democracies. *The Good Society* 11 (1): 61-65.
6. Rivlin, Alice (1971). "Systematic Thinking for Social Action." In *Classics of Public Administration*, 7th edition 306-316.

1. First, read the case posted to Canvas on "Confronting Climate Change."

2. Second, as a group search online for a **(relatively recent) news article, policy brief or white paper** that discusses specific policy alternatives for addressing climate change. Alternatives may include, but are not limited to: cap and trade, permits/allowances (auction v. free), incentives, output-based rebates, offsets, conservation subsidies, sequestration, carbon tax, emissions leakage, etc.

Assignment

1. Following Bardach's instructions and examples (in the book), construct a fishbone diagram to model the problem, identifying as many contributory and causal factors as you can. Bring your diagram with you to class.
2. Prior to class, answer the following questions about your article and bring your article and responses to class:
    a. What evidence is offered for the policy problem? Is the evidence sufficient? What additional evidence might be needed to construct alternatives?
    b. What are the specific alternative(s) identified?
    c. What criteria are being used to make the case that the alternative is good or bad? (e.g., efficiency, equality, legality, etc.) Are there additional criteria that are ignored that should be considered?
    d. What are the projected outcomes (if any) based on the criteria identified?

<u>October 30</u>: Lecture on types of policy analysis and on use of fishbone diagrams (50 minutes); in groups, compare and contrast your fishbone diagrams. As a group, decide on a final format for the fishbone diagram, and draw on white paper (60 minutes) In your groups, compare and contrast the policy alternatives generated from your reviews of news articles. Write down a list of all of the alternatives generated. Now, identify tradeoffs between alternatives, using the criteria identified from your collective reviews (40 minutes). Identify a "spokesperson" to provide a 5 minute summary of your selected policy alternative to the class, including your justifications.

<u>November 1</u>: Each group will have their spokesperson report out on their selected policy alternative (5 minutes) followed by 10 minutes of Q&A.

Due: group fishbone diagram (counts as individual paper 11)

Week 12:
Policy Analysis Part II: Cost Benefit Analysis

Objectives

1. To understand how to do cost benefit analysis
2. To be prepared to conduct cost benefit analysis
3. To understand the limitations of cost benefit analysis

Readings/videos:

1. Weimer, David and Aidan Vining (2005). Cost-Benefit Analysis. In *Policy Analysis: Concepts and Practices*, 4th edition. 380-425.

2. Transportation Benefit cost analysis. http://bca.transportationeconomics.org/case-studies/cvisn
3. Intro to cost-benefit analysis (4.5 minutes). https://www.youtube.com/watch?v=7tdKkeNClPE&index=1&list=PLBfu1mD9hk67Vrm0SPK-fmQgmzWQ2zvNA
4. Cost-benefit scenarios (5 minutes). https://www.youtube.com/watch?v=0kakVKN1mi8&index=2&list=PLBfu1mD9hk67Vrm0SPK-fmQgmzWQ2zvNA
5. Cost-benefit perspectives (9 minutes). https://www.youtube.com/watch?v=qGvZPL2ytzU&index=3&list=PLBfu1mD9hk67Vrm0SPK-fmQgmzWQ2zvNA
6. Cost-benefit real vs. nom (5 minutes). https://www.youtube.com/watch?v=TQYOe4ePvvM&list=PLBfu1mD9hk67Vrm0SPK-fmQgmzWQ2zvNA&index=4
7. Cost-benefit discounting (8 minutes). https://www.youtube.com/watch?v=Mol1yT7tczY&list=PLBfu1mD9hk67Vrm0SPK-fmQgmzWQ2zvNA&index=5
8. Cost-benefit time horizons (6 minutes). https://www.youtube.com/watch?v=whX3bgr7Zz8&index=6&list=PLBfu1mD9hk67Vrm0SPK-fmQgmzWQ2zvNA
9. Cost-benefit net present value (6.5 minutes). https://www.youtube.com/watch?v=2HXwiCoYM8o&list=PLBfu1mD9hk67Vrm0SPK-fmQgmzWQ2zvNA&index=7
10. Background information on the mirror lake restoration project at The Ohio State University. https://news.osu.edu/news/2016/10/11/mirror-lake-restoration/

November 6:
Lecture on cost benefit analysis (30 minutes)
Group work (80 minutes):
1. Work on the "mirror lake case" in groups.
2. Assume that you were the decision makers who had to make decision on the project, every student should – prior to class - come up with a list of 5 cost items, and 5 benefit items. Bring your list to class for further in-class discussions.
3. Assume that the completion of the mirror lake project will take 5 years, have a group Discussions on the mirror lake case to finish the following tasks:
a. Review the cost and benefit items you came up with.
b. Work with the cost-benefit analysis excel template sheet. Assign dollar values to these items, through thorough discussions. Write down your rationales for why you assign a certain dollar value for the particular items.
c. Put annual values into the excel sheet.
d. Come with a net present value
e. Evaluate your decisions.

November 8:
Group presentations of their CBA results (10 minutes each) followed by plenary discussion to compare the results across the groups (40 minutes), concluding with observations on limitations of CBA (10 minutes).

Due: group paper of cost-benefit analysis (counts as individual paper 12)

Week 13:
Policy Learning

Objectives
1. To prepare students to discuss implementation dynamics, outcome analysis, technical and behavioral challenges present and recommendations in class.
2. To prepare students for their final paper, the implementation analysis

Readings
1. Moulton and Sandfort Chapter 8
2. Case: Hubert E-Study - Collaboration Challenges (2-1/2 hours), https://www.hubertproject.org/hubert-material/276/ (half of students will use this case)
OR
3. Implementation of a Community Health Improvement Program, https://www.hubertproject.org/hubert-material/367/ (other half of students will use this case)

Assignment
Using Appendices G and H as a guide, produce a 1-page, double-spaced brief describing the implementation dynamics, outcome analysis, technical and behavioral challenges present and recommendations for improvement for the case, above. Make sure to:

1. Identify of the indicators of implementation effectiveness for the policy or program, including process results as well as outcomes;
2. Assess the points of variation in the implementation of the policy at the level of the policy field, organization and frontlines (e.g., do different organizations implementing the policy have different outcomes? do outcomes vary based on the individuals or processes at the frontline?);
3. Analyze possible reasons for the observed variation in implementation, linking back to the varying sources of authority (identified in the policy field map); and
4. Make recommendations for improvement, including strategies that target both technical and adaptive challenges.

<u>November 13</u>:
Lecture on how people learn in general, and specifically how people and organizations learn about policy se discussion (50 minutes)
Plenary case discussions of both cases (60 minutes)

a. What is your first impression of this e-Study?
b. Based on the opening video, who do you understand to be the target population and primary/secondary implementers?
c. What challenges might the front lines and/or stakeholders face from the policy's get-go? Or over time?
d. Are the "objectives" or "desired outcomes or changes" adequately outlined and understood? How/why do they change over time?

e. What competing or complementary priorities are in play for the multiple sectors involved in this case (e.g. for organizations involved in implementing, for other stakeholders)?
f. What types of relationships are crucial for this policy's success? Where do relationships cause conflict? At what levels do relationships have the most influence over implementation or outcomes?
g. What strengths are inevitable in a decentralized implementation structure? What challenges are encountered in this approach?

November 15:
Guest speaker: Dr. Sonja Simpson, Assistant Director, Ohio Department of Transportation
Final project discussion: Q&A

Week 14:
Governing in a Democracy

Objectives
1. Understanding that policy formulation and implementation are embedded in a societal context
2. Characterizing American society in terms of societal and political dimensions

November 20:
Lecture on what makes governing different in a democracy and on characterizing society and its politics by contrasting it with other societies and political systems

November 22:
Thanksgiving

Week 15:
Who is Governed and Who Governs

Objectives
1. Understanding the extent to which instinctual behavior and tribal inclinations are visible in contemporary institutional arrangements of and for governing
2. Understanding that globalization is a multi-faceted phenomenon and, thus, that its impact is not singularly in one particular direction
3. Recognizing how and why elected officeholders (including political appointees), career civil servants, and citizens are inclined to think about the others in terms of stereotypes
4. Identifying challenges to democracy in general and what that means for policy making

November 27:
Lecture on how human instinct and tribal community are visible in public institutional arrangements, followed by class discussion (50 minutes).
Lecture on nature(s) of globalization and its impact upon territorial states, followed by class discussion (50 minutes).

<u>November 29</u>:
Lecture on stereotyping stakeholders in the public sphere, followed by class discussion (50 minutes).
Lecture on challenges to democracy, followed by class discussion (50 minutes)

Week 16:
Position and Role of Government in Society

Class reflections and discussions; filling out written course evaluations

Due: Policy Implementation Analysis due December 4

COURSE POLICIES

Academic and personal misconduct

Is defined and dealt with according to the procedures in the Code of Student Conduct (https://trustees.osu.edu/assets/files/RuleBook/CodeStudentConduct.pdf). Your work should be original. Quotation and paraphrasing of other's work without citation will not be accepted. If you have any questions about the policy or what constitutes academic misconduct in this course, please contact me.

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.

Policy identification brief, policy field map and policy implementation analysis are to be submitted as hard copy. Informing me of your intention to be absent does not waive your obligation to submit assigned work. **Late work will be accepted with one point each day that it is late.**

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.

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/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 a student's 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 the 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 on the 10th Floor of Lincoln Tower. 24 hour emergency help is also available through the National 24/7 Prevention Hotline at 1-800-273-TALK or at suicidepreventionlifeline.org.

Accommodation Policy

The University strives to make all learning experiences as accessible as possible. If you anticipate or experience academic barriers based on your disability (including mental health, chronic or temporary medical conditions), please let me know immediately so that we can privately discuss options. To establish reasonable accommodations, I may request that you register with Student Life Disability Services. After registration, make arrangements with me as soon as possible to discuss your accommodations so that they may be implemented in a timely fashion. **SLDS contact information:** slds@osu.edu; 614-292-3307; slds.osu.edu; 098 Baker Hall, 113 W. 12th Avenue.

Glenn College Diversity Values Statement

"The Glenn College is committed to nurturing a diverse and inclusive environment for our students, faculty, staff, and guests that celebrates the fundamental value and dignity of everyone by recognizing differences and supporting individuality. We are dedicated to creating a safe space and promoting civil discourse that acknowledges and embraces diverse perspectives on issues and challenges that affect our community."

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.

Helpful Resources

Statistical Consulting: Students wishing to have additional help with the statistical analysis for their papers may consult with the Statistical Consulting Service (www.scs.osu.edu/) and enroll in their Stat 5700 course (http://www.scs.osu.edu/stat5760.html).

Writing Consulting: Students wishing to have additional help with the writing of their papers can meet with a consultant at the Writing Center (https://cstw.osu.edu/writing-center). The Writing Center works "one-on-one with undergraduate and graduate students, faculty, and staff at Ohio State on writing projects. Writing consultants are able to review writing at any stage, from brainstorming to a final draft, as well as help with non-paper assignments such as presentations, blogs, etc," Consultants are available by appointment, on a walk-in basis or online.

Library Assistance: The Glenn College has a dedicated librarian at OSU Libraries, David Lincove (lincove.1@osu.edu), who can help provide research assistance. For more information and links to some common public affairs resources, see - http://go.osu.edu/8gx.