

Public Policy Formulation and Implementation
PUBAFRS 6000, 4 credit hours
John Glenn College of Public Affairs
COURSE SYLLABUS
Spring 2016
Wednesdays, 5:45-9:20pm
Page Hall 060

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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 1-8) 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 9-14) 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) concludes with 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.

COURSE 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 READING MATERIAL

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

*All other reading material will be posted to Carmen.

GRADING AND COURSE REQUIREMENTS

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 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 Identification Brief:	15%
Policy Presentation:	10%
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:

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

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. The policy should fall under the general umbrella of the policy area group presentation. By Feb 15th, students will submit a “policy identification brief” related to their selected policy. Building from the more general group presentation on the particular policy area, 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),
- (b) an identification of the policy type and policy tools in use to govern the implementation of the particular policy; 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. In your description, include an application of one (or more) policy framework (s) that can help make sense of how the policy developed and has been implemented over time.

The policy identification brief should be about 2-3 pages (**no more than 3 pages**), double spaced, 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 brief will be evaluated for attention to detail, including: spelling, grammar, appropriate use of references and general readability (20%).

Policy Area Presentation

During the 8th and 9th weeks of class, students will make individual presentations based on their policy identification brief. Each individual presentation should be about 15 minutes in length. The presentation should clearly outline the following elements:

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

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 could also include video clips or news articles.

Policy Field Map

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 and 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);
- (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 2-3 pages (**no more than 3 pages**), single 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%).

Policy Implementation Analysis

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 5 pages (**no more than 7 pages**) single 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 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

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. Oftentimes, 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. Active student participation in the in-class activities is essential. The instructor will assess the quality of each student's participation in group activities, comprising 10% of the final grade.

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.

COURSE POLICIES

Academic and personal misconduct are defined and dealt with according to the procedures in the Code of Student Conduct (http://studentaffairs.osu.edu/resource_csc.asp). 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.

All work is to be submitted through Carmen, as a word document, as I grade and provide feedback for all assignments electronically. If you cannot deliver an assignment through Carmen, you are responsible for submitting assigned material to me through some other means (Page Hall 110B, fax 292-2548 or email a Microsoft Word attachment to yi.201@osu.edu.) Informing me of your intention to be absent does not waive your obligation to submit assigned work. **Late work will be accepted with a one-third-letter grade penalty each day that it is late (A- to B+).**

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 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

“Students with disabilities that have been certified by the Office for Disability Services will be appropriately accommodated, and should inform the instructor as soon as possible of their needs. The Office for Disability Services is located in 150 Pomerene Hall, 1760 Neil Avenue; telephone 292-3307, TDD 292-0901; <http://www.ods.ohio-state.edu/>.”

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.

ASSIGNMENT CALENDAR

*All assignments are due PRIOR to the class session for the date indicated, and should be posted to Carmen.

February 15: Policy Identification Brief Due

February 22: Policy Presentations (1)

March 1: Policy Presentations (2)

April 5: Policy Field Map Deliverable Due

April 26: Policy Implementation Analysis Due

SAMPLE

COURSE CALENDAR

*Required readings are indicated below a particular session date. Supplemental course readings are not required; these are readings that the professor will likely integrate into the lecture. The citations are provided for your own further exploration, as interested.

Part I: Theories and Concepts

Week 1 (Jan 11): Introduction to the Policy Process

- Sandfort and Moulton Chapter 1

Supplemental:

- Peters, Guy. (2012). *American Public Policy: Promise and Performance*. Washington, D.C.: CQ Press; Chapter 1, "What is Public Policy?"

Activity: Defining "policy" and "policy actors."

Week 2 (Jan 18): Typologies of Policies and the Policy Process

- Sandfort and Moulton Chapter 2
- Anderson, James E. (2003). *Public Policymaking*. (pp. 1-34). New York: Houghton Mifflin.
- Yi, Hongtao, and Richard C. Feiock. "Renewable energy politics: policy typologies, policy tools, and state deployment of renewables." *Policy Studies Journal* 42, no. 3 (2014): 391-415.

Activity: In-Class Exercise- Policy Types

Week 3 (Jan 25): Policy Tools

- Salamon, Lester. (2002). The New Government and Tools of Public Action: An Introduction. In *The Tools of Government: A Guide to the New Governance*. Oxford, Oxford University Press.

Activity: In Class Exercise- Policy Tools

Week 4 (Feb 1): The Policy Process Frameworks

(Rational Models: Stages Model, Median Voter and Rational Choice)

- Werner Jann and Kai Wegrich (2007). "Theories of the Policy Cycle", in Frank Fischer, Gerald Miller, Mara Sydney eds. *Handbook of public policy analysis: theory, politics, and methods*. CRC Press.
- Holcombe, Randall G. "The median voter model in public choice theory." *Public Choice* 61, no. 2 (1989): 115-125.

Activity: Median Voter Models

Week 5 (Feb 8): Policy Process Frameworks

(Bounded Rational Models: Multiple Streams, PE, IAD, ACF)

Multiple Streams,

- Kingdon, John. (1995). "How Does and Idea's Time Come? Agendas, Alternatives and Public Policies." In *Classics of Public Administration*, 7th edition 454-459.

Punctuated-Equilibrium:

- 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.

Institutional Analysis & Development (IAD):

- Ostrom, E. (2010). Beyond markets and states: polycentric governance of complex economic systems. *The American Economic Review*, 641-672.

Advocacy Coalition Framework (ACF):

- 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.

Activity: In-Class Exercise- Applying Policy Process Models to the ACA

Week 6 (Feb 15): Policy Process Frameworks

(Bounded Rational Models: Policy diffusion, Policy Termination, Social Construction)

Policy Innovation and Diffusion

- Berry, Frances Stokes. (1994) "Sizing up state policy innovation research." *Policy Studies Journal* 22, no. 3: 442-456.
- Shipan, Charles R., and Craig Volden. (2008). "The mechanisms of policy diffusion." *American Journal of Political Science* 52, no. 4: 840-857.

Policy Termination

- Krause, Rachel M., Hongtao Yi, and Richard C. Feiock. (2015). "Applying policy termination theory to the abandonment of climate protection initiatives by US local governments." *Policy Studies Journal* 44(2):176-195.

Social Construction

- Stone, Deborah. (1997). "Policy Paradox: The Art of Political Decision Making." In *Classics of Public Administration*, 7th edition 591-597.

Activity: In-Class Exercise- Applying Policy Termination Model

Policy Identification Brief Due

Week 7 (Feb 22): Substantive Policy Areas I

(Presentations)

Week 8 (March 1): Substantive Policy Areas II
(Presentations)

Week 9 (March 8): Professor attends conference (no class)

Week 10 (March 15): Spring break (no class)

Part II: The Policy Implementation System

Week 11 (March 22): The Policy (Design-Implementation-Analysis) System; Structures and Actors (Guest lecture)

- Sandfort and Moulton Chapter 3
- Evans, Susan and Peter Clarke (2011). Disseminating Orphan Innovations, *Stanford Social Innovation Review*. Winter: 42-47.
- Sandfort and Moulton Chapter 4
- Collective Impact Case Study: Project Impact

Activity: In-Class Exercise- Process Flow Exercise

Week 12 (March 29): Organizations- Roles in the Policy Process

- Sandfort and Moulton Chapter 5 & Appendix C
- Kerwin, Cornelius. 2003. "The Substance of Rules and the Reasons for Rulemaking," In *Rulemaking: How Government Agencies Write Laws and Make Policy*, Third Edition.

Activity: In-Class Exercise- Policy Field Mapping of Project Impact Case

Week 13 (April 5): Organizations and Policy Networks- Roles in the Policy Process

- Gormley, William. (1983). Regulatory Issue Networks in a Federal System. *Polity*. Vol. 18 (4): 595-620.
- Waarden, F. (1992). Dimensions and types of policy networks. *European journal of political research*, 21(1-2), 29-52.
- Yi, Hongtao. (2012). Chapter one: Networking in the US. national green energy policy domain: an ERGM analysis based on hyperlink measures of policy network. In "Policy Networks, Environmental Impacts and Economic Consequences of Clean Energy in the US: A National, State and Local Investigation." Dissertation, Florida State University, 2012.

Activity: In-Class Exercise- Policy Networks: Bridging and Bonding

Policy Field Map Deliverable Due: - Post to Carmen AND Bring to Class

Week 14 (April 12): Frontlines of the System- Street Level Bureaucrats and Target Group Experiences

- Sandfort and Moulton Chapter 6
- 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.
- Weaver, Kent (2009).“Target Compliance: The Final Frontier of Policy Implementation,” *Issues in Governance Studies*, 1-11.
- 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).

Activity: In-Class Exercise-Frontline Interactions Audit

Part III: Policy Analysis and Policy Learning

Week 15 (April 19): Policy Analysis and Policy Learning

- Weimer, David and Aidan Vining. 2005. What is Policy Analysis? In *Policy Analysis: Concepts and Practices*, 4th edition. 23-38.
- Bardach, Eugene. 2012. *A Practical Guide for Policy Analysis*. Part I: The Eightfold Path, pages 1-70. (Skim and bring to class for in-class exercise).

Activity: In Class Exercise- Unpack Bardach’s Eightfold Path to Policy Analysis

Finals (April 26): Policy Implementation Analysis due by 5 p.m.