This course provides an introduction to the key stages through which public problems are recognized, channeled into the political process, and policies to address them formulated and implemented. Set against the background of the formulation stage, the course focuses mostly on the implementation stage as the lens through which to understand the possibilities and constraints on policy making. It provides critical reflection on the manner in which political practices, institutions, and stakeholders influence the framing of issues, the alternatives that enter debate, and the evolution of public policies over time, and their ultimate impacts on society. It is, in effect, about problem solving and critical thinking in pursuit of the public purpose. The course draws from the American political experience and provides an overview of the field of policy studies suited to the needs of masters level students and doctoral level students unacquainted with the field.

The format of the course is a mixture of lecture, discussion of assigned readings and topics, guest speakers, and student presentations. An important feature of the course is a group research report on how a particular public policy is actually being implemented. This project includes an in-class research design and methods of analysis presentation mid-way through the term and the final report at the end of the term. It requires both knowledge of scholarly literature on the topic and original field-based research and analysis.

**Grading**
Grading is based on the assigned individual papers, the team research project, and class attendance and participation (see chart of assignments and due dates).

**Weekly Questions and Comments on the Reading for Class Discussion**
Each student is to come to class having read all of the assigned reading and to submit two (2) questions or critical issues raised by the readings that can help focus the class discussion. Questions and issues are to be submitted in advance of the class, specifically, by **5pm each Tuesday** unless indicated on the syllabus (see assignments). Each week a selection of questions will be discussed in class.
<table>
<thead>
<tr>
<th>ASSIGNMENT</th>
<th>LENGTH</th>
<th>DUE DATE</th>
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</thead>
<tbody>
<tr>
<td>Team project topic selection memo</td>
<td>½ page</td>
<td>Jan. 20 (Friday, wk 2)</td>
<td>na</td>
</tr>
<tr>
<td>Team project research design, in class pwpt presentation pwpt and</td>
<td>15 minutes plus Q &amp; A</td>
<td>Mar. 1 &amp; 8 (wk’s 8 &amp; 9)</td>
<td>10%</td>
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<tr>
<td>completion of human subjects training</td>
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<tr>
<td>Literature (readings) synthesis, Wk’s 1 - 4</td>
<td>3 – 4 pages double-spaced (approx. 900 – 1000 words)</td>
<td>Feb. 3 by 5pm (wk 4)</td>
<td>10%</td>
</tr>
<tr>
<td>Literature (readings) synthesis, Wk’s 5 - 9</td>
<td>3 – 4 pages double-spaced (approx. 900 – 1000 words)</td>
<td>Mar. 8 by 5pm (wk 9)</td>
<td>15%</td>
</tr>
<tr>
<td>Literature (readings) synthesis, Wk’s 11 - 14</td>
<td>3 -4 pages double-spaced (approx. 900 - 1000 words)</td>
<td>Apr. 21 by 5pm (wk 14)</td>
<td>15%</td>
</tr>
<tr>
<td>Policy implementation Memo to the Mayor</td>
<td>3-4 pages, double-spaced (approx. 900-1000 words)</td>
<td>Mar. 20 by 5pm (wk 10)</td>
<td>15%</td>
</tr>
<tr>
<td>Team report presentation in class</td>
<td>25 minutes plus Q &amp; A</td>
<td>Apr. 19 &amp; 26 (wk’s 14 &amp; 15)</td>
<td>15%</td>
</tr>
<tr>
<td>Team pwpt submission</td>
<td>n/a</td>
<td>Apr. 28 by 5pm</td>
<td>5%</td>
</tr>
<tr>
<td>In-class participation and weekly questions &amp; comments on reading</td>
<td>n/a</td>
<td>Throughout</td>
<td>Combined 10%</td>
</tr>
<tr>
<td>Final exam exercise (peer evaluation)</td>
<td>n/a</td>
<td>Scheduled Final Exam time (tba)</td>
<td>5%</td>
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</tbody>
</table>
Literature Synthesis Papers
Each student is required to write three (3) short literature papers synthesizing the approaches and leading issues identified in the readings for the weeks designated (see the above chart). The papers are to be typed, double-spaced, and from 3-4 pages (900 - 1000 words) excluding any appendices and references.

Guidelines: There are several ways the formulation and implementation of public policy is approached in the field and illustrated in the class through various issues and themes, from an historical development of the American political institutions, issues of values and ethics, organization capacity, stakeholder engagement, causal theory, mandate design, etc., all of which are addressed in the readings and lectures and you will want to touch on some subset of them in your synthesis papers. Also, you will want to demonstrate your grasp of the assigned readings and how they relate to your understanding of the formulation and implementation process. You can do so through a simple referencing of them where appropriate (e.g., "as Blanchard argues", or "according to May").

Memo to the Mayor
Guideline: As the policy advisor to the Mayor of a large US city, you have been asked to identify the best job creation program for the city and how it should be implemented. In addition to spelling out your policy proposal, the memo should draw on the assigned readings and class discussions to inform the mayor which factors are most important in the implementation process. What are the key dimensions of your implementation strategy? What cautions or qualifications do you include in the memo?

Team Implementation Research Project
Teams of 4 (on occasion 3 or 5) students each will be formed around policy areas of interest to students. Each team is responsible for three deliverables:
First, a mid-semester in-class pwpt presentation focused on a statement of the ‘problem’ being addressed and approach to research.

Required elements of the research questions and methodology pwpt:
- The “problem” being addressed
- The policy adopted to address the problem
- The theory of change underlying the policy
- The researchable questions the team wants to answer
- The methodology that will be employed to answer research questions
- Identification of responsibilities of the individual team members

Second, toward the end of the semester an in-class pwpt presentation on research findings, suggestions for improving the implementation process, and the team’s view of the ideal (best imaginable) way for society to address the problem.

Required elements of the end of semester presentation of findings pwpt:
- Brief restatement of the problem and policy
- Scholarly research on the policy
- Research questions and findings
- Strengths and limitations of the teams research and findings
- Assessment of the effectiveness of the policy’s implementation
• Recommendations for improving implementation

**Third**, submission of a FINAL version of the in-class presentation pwpt.

**Required** elements of the FINAL pwpt presentation:

- Revised and expanded in-class pwpt presentation
- References and any appendicies

For elaboration on an implementation assessment, see the Appendix.

**Human Subjects Training**

Each student is required to complete the USC human subjects training short-course as a component of the team research project. This includes (a) reviewing “Making Sense of Human Subject’s Research”: [https://oprs.usc.edu/files/2013/04/Student-Handbook-4.1.13.pdf](https://oprs.usc.edu/files/2013/04/Student-Handbook-4.1.13.pdf), and (b) completing the human subject protection training at: [www.citiprogram.org](http://www.citiprogram.org).

**Submission of Written Assignments**

The weekly questions and comments on readings, 3 literature syntheses papers, memo to the mayor, and team research are to be submitted via turnitin, in Blackboard. Late submissions are subject to penalty.

**Required Reading**

Weekly assignments from USC library e-resources (URL frequently provided) or available on Blackboard (BB) under “Course Assignments,” by the week of assignment.

**Recommended for Those Unfamiliar with American Politics and Policy Analysis**

- Paul Manna, COLLISION COURSE: FEDERAL EDUCATION POLICY MEETS STATE AND LOCAL REALITIES (2011)
- Eugene Bardach, A PRACTICAL GUIDE FOR PUBLIC POLICY ANALYSIS: THE EIGHTFOLD PATH TO MORE EFFECTIVE DECISION MAKING, 4th Edition

**Supplemental Reading List on Policy Implementation**: See “PPD555 Supplemental Reading List” posted on BB under Content.

**Academic Conduct**

Plagiarism – presenting someone else’s ideas as your own, either verbatim or recast in your own words – is a serious academic offense with serious consequences. Please familiarize yourself with the discussion of plagiarism in *Scampus* in Section 11, *Behavior Violating University Standards* [https://scampus.usc.edu/1100-behavior-violating-university-standards-and-appropriate-sanctions](https://scampus.usc.edu/1100-behavior-violating-university-standards-and-appropriate-sanctions). Other forms of academic dishonesty are equally unacceptable. See additional information in *Scampus* and university policies on scientific misconduct, [http://policy.usc.edu/scientific-misconduct](http://policy.usc.edu/scientific-misconduct).
Discrimination, sexual assault, and harassment are not tolerated by the university. You are encouraged to report any incidents to the Office of Equity and Diversity http://equity.usc.edu or to the Department of Public Safety http://capsnet.usc.edu/department/department-public-safety/online-forms/contact-us. This is important for the safety of the whole USC community. Another member of the university community – such as a friend, classmate, advisor, or faculty member – can help initiate the report, or can initiate the report on behalf of another person. The Center for Women and Men http://www.usc.edu/student-affairs/cwm/ provides 24/7 confidential support, and the sexual assault resource center webpage http://sarc.usc.edu describes reporting options and other resources.

Support Systems
A number of USC’s schools provide support for students who need help with scholarly writing. Check with your advisor or program staff to find out more. Students whose primary language is not English should check with the American Language Institute http://dornsife.usc.edu/ali, which sponsors courses and workshops specifically for http://sait.usc.edu/academicsupport/centerprograms/dsp/home_index.html provides certification for students with disabilities and helps arrange the relevant accommodations. If an officially declared emergency makes travel to campus infeasible, USC Emergency Information http://emergency.usc.edu will provide safety and other updates, including ways in which instruction will be continued by means of blackboard, teleconferencing, and other technology.

Statement for Students with Disabilities
Any student requesting academic accommodations based on a disability is required to register with Disability Services and Programs (DSP) each semester. A letter of verification for approved accommodations can be obtained from DSP. Please be sure the letter is delivered to me as early in the semester as possible. DSP is located in STU 301 and is open 8:30 a.m.–5:00 p.m., Monday through Friday. Website and contact information for DSP: http://sait.usc.edu/academicsupport/centerprograms/dsp/home_index.html, (213) 740-0776 (Phone), (213) 740-6948 (TDD only), (213) 740-8216 (FAX) ability@usc.edu.

Emergency Preparedness/Course Continuity in a Crisis
In case of a declared emergency if travel to campus is not feasible, USC executive leadership will announce an electronic way for instructors to teach students in their residence halls or homes using a combination of Blackboard, teleconferencing, and other technologies.
Weekly Course Outline

Wk. 1 (Jan. 11): Overview, Themes, Introductions: Policy formulation and implementation in a complex, democratic society

Reading

Wk. 2 (Jan. 18): Formulation and Implementation of Public Policy, To What End – Efficiency, Equity and Justice, Stakeholders Preferences, Statutory Mandates?

Reading
- Frederic Reamer, “Principles of Ethics and the Justification of Policy,” in William Dunn, editor, POLICY ANALYSIS (1986); BB

Activity: Research teams topic selection and team break-out
Wk. 3 (Jan. 25): Policy Formulation Process: The Enduring Effects of Purpose and Institutional Design

Reading

- Articles of Confederation and Perpetual Union: http://avalon.law.yale.edu/18th_century/artconf.asp
- Constitution of the United States of America: http://avalon.law.yale.edu/18th_century/usconst.asp
- Federalist Paper #51: http://avalon.law.yale.edu/18th_century/fed51.asp

Activity: Team proposals for constitution design

Wk. 4 (Feb. 1): The Process of Policy Formulation and Realities of Policy Implementation in the US

Part A: The Theory Policy Formulation: Multiple Streams Approach

Reading

- Sarah Pralle, Agenda-setting and climate change, ENVIRONMENTAL POLITICS: 18, #5(2009).
  If not there above, at: http://www.nationalaffairs.com/doclib/20080710_20041573onleavingnochilbehindchesterefinn.pdf

Activity

- Select teams to present weeks 8 and 9
- Sign up for team meetings Wk 6 meetings, ½ hour intervals from 1-6pm

Part B: Policy Formulation and Implementation in Practice

Guest Speaker: Ian Spatz, Senior Advisor Manatt Health, J.D. NYU School of Law, MPP, Woodrow Wilson School of Public and International Affairs

Topic: implementation of the Patient Protection and Affordable Care Act of 2010

Reading

- Peter May, “Implementation Failures Revisited,” PUBLIC POLICY AND ADMINISTRATION (2014):
Reminder:
1st literature synthesis paper due via turnitin February 3 (Friday by 5pm)

Wk. 5 (Feb. 8): Policy Implementation
Part A: The Evolution of Public Policy Analysis and Implementation
Reading
- Dan Mazmanian & Paul Sabatier, IMPLEMENTATION AND PUBLIC POLICY, 2nd ed., Chapters 1-2 (1989); BB

Part B: Ethical and Practical Dimensions of Field-Based Implementation Research
Reading
- Making Sense of Human Subject’s Research:
Activity: Teams identify (i) the target population of the policy being examined, (ii) behavioral changes desired, (iii) the implementing entity, and (vi) methods of compliance.

Wk. 6 (Feb. 15): Team Project Meetings
Individual team meetings for an update of team projects, including a 1-page written memo on the topic, including the responsibilities assigned to each member of team

Wk. 7 (Feb. 22): Best Practices in Implementation Research
Part A: Guest Speaker: Julie Marsh, Associate Professor, Rossier School of Education
Reading

Part B: Best Practices, continued
Reading
- Ann Chih Lin, REFORM IN THE MAKING: THE IMPLEMENTATION OF SOCIAL POLICY IN PRISION, excerpts, pp. 3-32 and 160-169; BB
- Christopher Weible, “Caught in Maelstrom: Implementing California Marine Protected Areas,” COASTAL MANAGEMENT (2008), 350-373; BB
• Ron Haskins and Greg Margolis, SHOW ME THE EVIDENCE, Ch. 8, (2015): BB

Wk. 8 (Mar. 1): Judicial Implementation: The 3rd branch of government in the US
Part A: Guest Speaker: tba
Reading
• Lawrence Baum, “Comparing the Implementation of Legislative and Judicial Policies,” Ch. 2, Mazmanian & Sabatier, editors, EFFECTIVE POLICY IMPLEMENTATION (1981), BB
• Christine Reed, “Institutional Reform Litigation in an Era of Governance,” ADMINISTRATIVE THEORY & PRAXIS, Vol. 31 (2009), 577-584: http://www.metapress.com/content/3u83187392h1t211/fulltext.pdf

Part B. 5 team presentations on research design (20 minutes)

Wk. 9 (Mar. 8): Judicial Implementation: continued from Wk 8
Part A: 4 -5 team presentations on research design (20 minutes)
Part B: judicial implementation cont.
Reminders:
• 2nd literature synthesis paper due Friday, March 8th
• Individual Memo to the Mayor due by 5pm, Monday, March 20th

Wk 10 (Mar. 15) Spring Break – no class

Wk. 11 (Mar. 22): Policy Memo to the Mayor
Part A: Within team presentations and analytical themes
Part B: Team reporting out analytical themes to the class

Wk. 12 (Mar. 29): Public Organizations and their Alternatives in the Delivery of Public Services
Part A. Organizations in the Delivery of Public Services
Reading


Part B – Implementation Assessment by the Government Accountability Office

Reading


Wk. 13 (Apr. 5): Citizen Power, Wealth, Race, Gender, Cultural Background

Part A: Citizen Participation, Empowerment and Stakeholders’ Role in Policy

Reading

- Dan Mazmanian & Jeannie Nienaber, “The Total Immersion Approach to Open Planning,” Ch. 6, CAN ORGANIZATIONS CHANGE? (1979); BB


Student activity: Teams map stakeholders a la the Bryson framework and report out
  - John Bryson, Figures 4 & 10 from “What To Do When Stakeholders Matter,”
    PUBLIC MANAGEMENT REVIEW (2004), BB

Part B: Implementation as an Extension of Social Construction
Reading
  - Ann Schneider, Helen Ingram, and Peter DeLeon, "Democratic Policy Design:
    Social Construction of Target Populations," Ch. 4, Paul Sabatier and Christopher
  - Max Rose and Frank Baumgartner, “Framing the Poor: Media Coverage and U.S.
    Poverty Policy, 1960-2008,” POLICY STUDIES JOURNAL (2013), 22-53:

Discussion: personal experiences with “framing”

Wk. 14 (Apr. 12): Implementation and Policy Change Over Time
Part A: Implementation Over Time
Reading
  - Mazmanian & Sabatier, Ch. 8, IMPLEMENTATION AND PUBLIC POLICY
    (1989); BB
  - Frank Baumgartner, “Ideas and Policy Change,” GOVERNANCE (2013), 239-
  - Daniel J. Fiorino, “Environmental Policy As Learning: A New View of an Old
    Landscape.” PUBLIC ADMINISTRATION REVIEW (2001):
    http://proquest.umi.com.libproxy.usc.edu/pqdweb?did=73711464&sid=10&Fmt=
    6&clientId=5239&RQT=309&VName=PQD

Part B: Guest Speaker: tba
Reading
  - tba

Wk. 15 (Apr. 19): Team Reports and Presentation
Part A. 4-5 Team reports (25 minutes)
Part B. Information and Monitoring Systems in the Digital Age
Reading
  - Jane Fountain, “Enacting Technology,” Ch. 6, BUILDING THE VIRTUAL
    STATE (2001); BB
  - Jane Fountain, Table 4-1, Comparison of Weberian and Virtual Bureacracy; BB
    City Policy Department’s CompStat Model of Police Management,” Ch. 6, Mark
    Abramson & John Kamensky, editors, MANAGING FOR RESULTS 2002
    (2001); BB
  - Jim Newton, “How the LAPD has achieved better policing through data”, May 4,
    2014; http://www.latimes.com/opinion/op-ed/la-oe-newton-column-compstat-
    lapd-20140505-column.html
    RESPONSIVE CITY, 2015; BB
Reminder: 3rd literature synthesis paper due April 21

Wk. 16 (Apr. 26): Team Reports and Concluding Remarks
Part A. 4-5 Team reports (25 minutes)
Part B. Concluding Remarks

Reading
- Mazmanian & Sabatier, “Six Conditions of Effective Implementation” (Chapter 2, IMPLEMENTATION AND PUBLIC POLICY, 41-42; see reading for Wk 5

Reminders:
- USC course evaluation
- Team project paper due via turnitin by 5pm April 28th

Final Exam Exercise: Peer Evaluation, submit via turnitin (date tbd)
Appendix

Elements of an Ideal Policy Implementation Assessment

1. Description of the “situation” in society that has been elevated to a public policy problem.
2. Description of the policy (law/plan) adopted in response.
3. Description and discussion of the theory of change – explicit or implicit – underlying the policy.
4. Presentation of the results of a thorough search of the scholarly literature and what it reveals about the implementation of the policy.
5. Identification of questions about its implementation that are in need of answering?
6. In view of the questions in need of answering, identification of the most relevant researchable questions about the implementation process, and methodology for assessing them.
7. Description of the research conducted and to what extent it enabled one to adequately answer the questions and concerns identified in step 5.
8. What are the strengths and limitations of the findings and research methods utilized?
9. What is the summative judgement of the degree of effective policy implementation, based on what criteria?
10. How might the policy’s implementation be more effective?
11. References and appendices.