

# **PPD 555: Public Policy Formulation and Implementation**

## **USC Sol Price School of Public Policy**

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**Office hours: M - F 9:00-10:00 PST and by appointment**

**Office: State Capitol Building**

### ***Course Overview***

**This course engages students in critical reflection and analysis of the manner in institutions, policy actors, and political/organizational processes influence policy change. We will consider the factors that shape political processes and outcomes, investigating agenda setting, formulation of the alternatives that enter debate, implementation, and the evolution of public policies over time. Through application of theoretical concepts to historical and current policy cases, students will develop the capacity to assess factors that influence policy formulation and implementation, and to conduct strategic analysis of political/organizational opportunities and constraints. The course primarily focuses on American policies and political institutions, but will incorporate international cases as appropriate and encourage students with international interests to explore them in the policy project.**

### ***Learning Objectives***

- Analyze processes of policy formulation and implementation and consider challenges to effective policy making in a complex, diverse democratic governance system.
- Conduct strategic political analysis to design and assess feasible solutions to the issues facing communities.
- Conduct implementation analysis to improve workability of policy alternatives and promote effective operation of policy on the ground.
- Consider, consult, and/or engage diverse stakeholder interests in policy formulation and implementation.
- Work collaboratively with colleagues on team projects.
- Individually or in teams, produce high-quality policy formulation and implementation analysis, presented in professionally formatted analytic reports and oral briefings.

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*Intensive structure.* The course is taught in an intensive format with three two day meetings of six days total.

JANUARY 27, 28

FEBRUARY 17, 18

MARCH 24, 25

The intensive structure will incorporate a combination of small group discussion and exercises, seminar discussion, and expert presentation. In addition, a portion of each intensive meeting is structured as a workshop to engage students in collaboration on exercises that apply readings to the group policy analysis assignment. Group participation scores will be in large part based on group exercise presentations.

*Case application exercises.* During the periods between the beginning of the semester and our first intensive class meeting, and between the first and second meetings, students will participate in class via Blackboard discussion threads, applying class readings to historical and contemporary policy cases.

Most weeks, you will complete a short (~1 page or 250 words) case application, to be posted in the case discussion forum. These provide an opportunity to consider how the frameworks discussed in class relate to public policy making and implementation within particular policy spheres.

### ***Course Requirements***

1. *Preparation and participation.* Students must come to the intensive meetings prepared to participate in class, including engagement in project workshops. In addition, students must participate in class by viewing the weekly instructional media and responding to any questions embedded in the media.
2. *Initiative analysis.* Each student will complete a four page (1500 word) analysis of a proposed initiative to increase the minimum wage that has received the required signatures to qualify for the November 2016 ballot. The analysis will be conducted from the standpoint of an assigned stakeholder, and will produce a summary of testimony to be presented in a mock legislative hearing in the first weekend.
3. *Case applications.* In keeping with the requirement for weekly class contact, students will complete a weekly assignment during most weeks in which the class does not meet. This will consist of a one-page case analysis memo that will apply readings to a specific case or cases, posted on the discussion board. Also in Week 1 students are required to introduce themselves and submit a one-page resume.
4. *Policy formulation or implementation assessment.* Students will prepare a policy formulation or implementation report on a current or proposed policy, regulatory system, or other program, through a combination of cumulative assignments:
  - A. In week 2, the instructor will assign students into teams of three or four students. Each team will agree on an issue to be analyzed and will collaborate on research that will be shared as a basis for class briefings and individual writing.

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- B. Each weekend, students will work together to prepare a group presentation (no more than ten slides and 12 minutes) that will highlight how the case illustrates or can be understood through application of key theoretical constructs. These group presentations will serve in lieu of examinations on the readings and must combine both research on the policy issue and class readings.
- C. Written work will be “sole authored” and will consist of the following assignments that build cumulatively:
- a. Four-page (~1500 word) issue briefer that “defines the problem,” identifies current political/organizational context, and frames the issue as either a policy formulation or policy implementation challenge.
  - b. Staff report that incorporates the issue statement, and communicates a policy formulation or implementation analysis. The report must be research-intensive, and constitute approximately 10 pages single (or 4,000 words; not including tables and charts; references or appendices). A full draft of the staff report will be due approximately two weeks following the second intensive meeting; the final version will respond to instructor comments on the draft.

### ***Assignment Deadlines, Submission Policies, and Grading:***

Assignment	Length	Deadline	Percent of Grade
<i>Participation (intensive and media)</i>	<i>na</i>	regular	10
<i>Case discussion forum</i> Case analysis, post to discussion board most weeks	~250 words		15
<i>Initiative analysis</i>	~1500 words	Week 4	15
<i>Policy analysis project</i>			
Conceptual briefings (team briefings)	12 minutes	Intensive weekends	10
Policy issue briefer (individual)	~1500 words	Week 8	15
Policy white paper (individual)	~5000 words		35 (cum)
Draft		Week 12	(15)
Final		Finals week	(20)

***Form and style:*** All assignments should be single-spaced, and must be written in plain, concise prose, as described in Strunk and White's Elements of Style. Referencing should use APA format.

***File exchange protocol:*** All file exchange will be handled electronically through submission and return of electronic documents using the Turnitin function on the class Blackboard site. Unless arrangements are made in advance I will not accept any material via email or in hard copy. Labeling protocol: please label all files by your last name and name of assignment (e.g., musso\_briefer.doc). Repeated submission of improperly labeled files will result in a grade penalty.

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**Policy on late and missing assignments:** I will grade late assignments down substantially. Please inform me in advance if you must miss a deadline. **Repeated late or missing assignments may result in a non-passing grade.**

**Syllabus revision.** I will regularly assess progress and elicit student feedback regarding the course. If necessary I will revise the syllabus to make it more suitable.

**Academic integrity:** Students should maintain strict adherence to standards of academic integrity, as described in SCampus (<http://www.usc.edu/dept/publications/SCAMPUS/>). The policy briefer and white paper will be submitted by means of Turnitin with attendant assessment of academic originality.

The University recommends strict sanctions for plagiarism, as defined below and taken from SCampus:

### **11.11 Plagiarism**

- A. The submission of material authored by another person but represented as the student's own work, whether that material is paraphrased or copied in verbatim or near-verbatim form.
- B. The submission of material subjected to editorial revision by another person that results in substantive changes in content or major alteration of writing style.
- C. Improper acknowledgment of sources in essays or papers.

Note: Culpability is not diminished when plagiarism occurs in drafts which are not the final version. Also, if any material is prepared or submitted by another person on the student's behalf, the student is expected to proofread the results and is responsible for all particulars of the final draft.

Source: SCampus University Governance; <http://www.usc.edu/dept/publications/SCAMPUS/governance/gov05.html>

The recommended sanctions for academic integrity violations are available on the USC web site, as is the "Guide to Avoiding Plagiarism," from USC's Expository Writing Program. *I discourage heavy reliance on material found on the World Wide Web, and all such material must be fully documented with regard to author as well as URL.* If you have any questions about academic integrity or citation standards, please ask in advance.

**Academic accommodations.** 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 share the letter with me as early in the semester as possible so that I am able to adapt class requirements appropriately. DSP is located in STU 301 and is open 8:30 a.m. – 5:00 p.m., Monday through Friday. The phone number for DSP is (213) 740-0776. Information about how to request academic supports and accommodations is available at [http://sait.usc.edu/academicsupport/centerprograms/dsp/home\\_index.html](http://sait.usc.edu/academicsupport/centerprograms/dsp/home_index.html)

## PPD 555: Public Policy Formulation and Implementation

### *Required Readings*

#### Books: Available from online booksellers and in Kindle version

##### Required:

Donald C. Baumer and Carl E. Van Horn. (2014). *Politics and Public Policy: Strategic Actors and Policy Domains*. Sage, Congressional Quarterly Press.

Jodi Sandfort and Stephanie Moulton. (2015). *Effective Implementation in Practice: Integrating Public Policy and Management*. Jossey-Bass.

##### Recommended/review:

*Overview of basic policy analysis methods:* Eugene Bardach, *A Practical Guide for Public Policy Analysis: The Eightfold Path to More Effective Decision Making*, CQ Press College; 4th edition (October 12, 2011) (NB: *Core text in PPD 554; will serve as reference in this class*).

*Overview/review of American government.* Students who have not taken an undergraduate level course in American politics are also encouraged to review a basic American government/politics text book. Some options include the following, all of which are available for rent and/or used purchase on Amazon. Any edition is fine.

- *Understanding American Government: The Essentials* (2008) by Welch; Gruhl, Comer, and Rigdon.
- *We the People: An Introduction to American Politics* (Shorter Eighth Edition (without policy chapters)); Paperback, Ginsberg, Lowi, Weir.
- *California Government and Politics Today*, Mona Field.

**Additional required readings and case materials are identified in course schedule and posted in the relevant week on Blackboard. These electronic reserves are for personal use and not to be circulated widely. You may print one personal copy.**

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## Course Outline

### Week 1. Thematic introduction and course overview.

- Peter May, "Politics and Policy Analysis," *Political Science Quarterly*, Vol 101, No. 1 (1986), pp. 109-125.
- Giandomenico Majone, "Policy Analysis and Public Deliberation," in Robert Reich, ed., *The Power of Public Ideas*, Harvard University Press, 1988.
- Robert Durant, "Getting Dirty-Minded: Implementing Presidential Policy Agendas Administratively," *PUBLIC ADMINISTRATION REVIEW* (July/August 2009), 569-585: <http://www3.interscience.wiley.com/cgi-bin/fulltext/122498972/PDFSTART>
- James Barnes, "Implementing Presidential Policy Agendas Administratively: A View from the Inside," *PUBLIC ADMINISTRATION REVIEW* (July/August 2009), 586-594: <http://www3.interscience.wiley.com/cgi-bin/fulltext/122498991/PDFSTART>

*Introduction, self-reflection, and resume (submit resume to Turnitin). Due end of week.*

### Week 2. Formulation and Implementation of Public Policy, By Whom and To What End?

- Kevin B. Smith and Christopher Larimer (2013), *Who Makes Decisions.... Actors and Institutions*, *The Public Policy Theory Primer*, Ch. 2, pp. 25-47.
- Bryan Jones (2002), "Bounded Rationality and Public Policy: Herbert A. Simon and the Decisional Foundation of Collective Choice." *Policy Sciences*, September, 2002, Vol. 35:3, pp. 269-284.
- William Blanchard, "Evaluating Social Equity: What Does Fairness Mean and Can We Measure It?" *POLICY STUDIES JOURNAL* (1986), 29-54:
- Frederic Reamer, "Principles of Ethics and the Justification of Policy," in William Dunn, editor, *POLICY ANALYSIS* (1986);

*Case Analysis Forum: Bounties.* "The Cobra Effect," Freakonomics Radio, <http://freakonomics.com/2012/10/11/the-cobra-effect-a-new-freakonomics-radio-podcast/>; recommended, "Of Rats, Rice, and Race: The Great Hanoi Rat Massacre, an Event in French History," *French Colonial History* Vol. 4, 2003, pp. 191-204 ISSN 1539-3402

### Week 3. The American political context

- Baumer and Van Horn, Ch. 1-4, pp. 1-122
- Grossman (2012) "Interest Group Influence..." *Interest Groups & Advocacy* Vol. 1, 2, 171-192.
- Federalist No. 10 & 51: <http://www.constitution.org/fed/federa10.htm> & <http://www.constitution.org/fed/federa51.htm>

*Case Analysis Forum: Oklahoma Preschool. Due January 31*

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### Week 4: Political constraints and policy change

- Baumer and Van Horn, Ch. 5-8, 123-254

Legislative analysis due in week 4
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#### Recommended resource:

- Peter Detwiler, “An Approach to Analysis,” Senate Local Government Committee, 2007.

### Week 5. Race, class, and representation

- Jennifer Hochschild and Vesla Weaver, Is the significance of race declining in the political arena? Yes, and no. *Ethnic and Racial Studies*, 38:8, 1250-1257.
- Vincent L. Hutchings and Nicholas Valentino, The centrality of race in American politics, *Annu. Rev. Polit. Sci.* 2004. 7: 383–408.
- Juliet Musso and Chao Guo, Representation in nonprofit and voluntary associations, *Nonprofit and Voluntary Sector Quarterly*, vol. 36, no. 2: 308-326. June 2007.
- William Julius Wilson, New perspectives on the declining significance of race: a rejoinder. *Ethnic and Racial Studies*, 38:8, 1278-1284.

*Case Analysis Forum: The politics of Black Lives Matter*

### Week 6: “Policy tools,” stakeholder analysis, and the politics of design

- Anne Schneider, Helen Ingram, and Peter de Leon; Democratic Policy Design: The Social Construction of Target Populations. Ch. 4 in Sabatier and Weible (2014), *Theories of the Policy Process*, 3<sup>rd</sup> edition.
- Peter May, 1981, “Hints for Crafting Alternative Policies,” *Policy Analysis*. (NB: Some may have had in PPD 554; review).
- Nikalaos Zaharidis, 2007, “The Multiple Streams Framework: Structure, Limitations, Prospects,” in Sabatier, *Theories of the Policy Process*.
- Varvarovszky, Z., & Brugha, R. (2000). How to do (or not to do) a stakeholder analysis. *Health Policy and Planning*, 15(3), 338-345.

*Case Analysis Forum: Advent of AIDS. Kennedy Case Program: “FDA, Blood Donor Policy, and the Advent of AIDS.”*

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### Week 7: Policy fields and the design/implementation linkage

- Matland, Richard, "Synthesizing the Implementation Literature: The Ambiguity-Conflict Model of Policy Implementation," JOURNAL OF PUBLIC ADMINISTRATION RESEARCH AND THEORY (1995)
- Sabatier and Mazmanian; The conditions of effective implementation: A guide to accomplishing policy objectives, *Policy Analysis*, 5:4 (1979:Fall)
- Sandfort and Moulton, Ch. 1-6

*Case analysis forum: Micro Finance.* Nonprofit Implementation of Microfinance Programming: Kennedy case program, NGO Microfinance in the Tibet Autonomous Region, 2008.

### Week 8: Organizations and street-level Implementation

- Peter May and Soren Winter, "Politicians, Managers, and Street-Level Bureaucrats: Influences on Policy Implementation," JOURNAL OF PUBLIC ADMINISTRATION AND THEORY, Vol. 19, #3 (July 2009)
- Norma Riccucci, Marcia Meyers, & Irene Lurie Jun Seop Han, "The Implementation of Welfare Reform Policy: The Role of Public Managers in Front-Line Practice," PUBLIC ADMINISTRATION REVIEW (July/August 2004)

*Case Analysis Forum: California Criminal justice realignment*

### Week 9: Implementation and the judiciary

- Susan Popkin, et. al., "Obstacles to Desegregation in Public Housing: Lessons Learned from Implementing Eight Consent Decrees," JOURNAL OF POLICY ANALYSIS AND MANAGEMENT (Spring 2003), 179-199
- Charles Wise & Rosemary O'Leary, "Breaking up Is Hard to Do: The Dissolution of Judicial Supervision of Public Services," PUBLIC ADMINISTRATION REVIEW (March/April 2003), 177-191
- Christine Reed, "Institutional Reform Litigation in an Era of Governance," ADMINISTRATIVE THEORY & PRACTICE, Vol. 31 (2009), 577-584
- Mosi Secret, "Court Upends 9-Year Fight on Housing Mentally Ill," New York Times, April 6, 2012: <http://nyti.ms/Hkg2ca>

*Case analysis forum: School (de- and re-)segregation.* This American Life: "The Problem We All Live With."

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### **Week 10: Civic engagement and participation**

- Bogason, P., & Musso, J., The Democratic Prospects of Network Governance; *American Review of Public Administration*, 36(1), March; 2006.
- Musso, J. A., & Weare, C., From Participatory Reform to Social Capital: Micromotives and the Macrostructure of Civil Society Networks; *Public Administration Review*, 75(1):150–164; 2015.
- Renn, O., Webler, T., Rakel, H., Dienel, P., & Johnson, B. (1993). Public participation in decision-making: A three-step procedure. *Policy Sciences*, 26(3), 189-214.

*Case analysis forum: Neighborhood councils in Los Angeles*

### **Week 11: Accountability, “smart practice,” and performance**

- Bardach Part III (review).
- Bretschneider et al. (2005) “Best Practices Research: A Methodological Guide for the Perplexed,” *JPART*, 5: 307-323.
- Baumer and Van Horn, Ch. 9-10, pp. 255-318.

*Case analysis: Conceptual application to term project due March 27*

**Week 12: TBD**

**Week 13: TBD**

**Week 14: TBD**

**Week 15: TBD**

### **Possible selected topics:**

- **Social media and social movement politics**
- **Mass media and public opinion**
- **Politics of evaluation**
- **Performance management**
- **Federalism and intergovernmental politics**
- **Selected policy applications: consider policy development and implementation in particular spheres or substantive policy applications**