



PPD 555: Public Policy Formulation and Implementation Spring 2023 - DRAFT

Course Time: Tuesdays 6 PM – 9:20 PM

Course Location: CPA 201

Instructor: Professor Grace Eng Nadel

Telephone: 213-864-3962 (Cell)

Email: gnadel@usc.edu

Office hours: Available virtually by appointment

Course Overview

Political and organizational perspectives on policy making process; agenda setting, policy design, adoption, implementation, evaluation, modification or termination. Policy leadership skills: negotiation and strategic mapping.

This course engages students in critical reflection and analysis of the manner in which institutions, policy actors, and political/organizational processes influence policy change. The course engages 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 may 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, assess, and negotiate 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.
- Engage diverse stakeholder interests in processes of policy formulation and implementation for purposes of designing and negotiating effective solutions.
- 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.

About the Instructor

Grace Eng Nadel, DPPD

Adjunct Instructor, Sol Price School of Public Policy, University of Southern California
Principal, Arroyo Associates, Inc.

Dr. Nadel is the President of Arroyo Associates, Inc., a public management consulting firm established in 1990. The firm provides management services and management studies for cities, counties, and non-profits, primarily in Southern California. Recent clients include a Hilton Foundation funded project on Safe Parking Evaluation for the Los Angeles Homeless Services Agency, the County of Los Angeles, the City of Los Angeles, the County of Orange, and the City of Irvine, the City of Wasco, and the City of Riverside.

As a public management consultant, Dr. Nadel forms project teams with various subject matter experts to conduct evaluations and reviews for public agencies. She regularly evaluates public agencies and programs and provides recommendations for implementation of policies to local cities and counties to improve the public agency and/or program being evaluated. She has successfully worked with Price School MPA students on award winning Capstone projects, one on Benchmarking of National Safe Parking Programs and Benchmarking of County AB 109 Public Safety Realignment Programs.

Dr. Nadel previously held a management position in the City of Culver City's Transportation Department where she regularly worked on transportation and transit issues on the Federal, State, and Local levels for the City of Culver City. She partnered with Los Angeles County Metro and the other Los Angeles County municipal operators to adopt the shared TAP fare card program when the Culver CityBus was the first of the municipal bus operators to implement the TAP fare card on the shared system. In her position, she also secured a source for funding that allowed Metro to agree to place the Expo Line on a bridge over Venice Blvd in Culver City, rather than the planned at grade crossing. As Executive Management staff for the San Gabriel Valley Council of Governments, she worked with the cities in the San Gabriel Valley to agree to smart growth planning, grade separations of the Union Pacific rail crossings, the Metro Foothill Gold Line Extension, and Rio Hondo/San Gabriel River watershed planning among other policy successes.

Dr. Nadel holds a Doctorate in Policy, Planning and Development (DPPD) and a Master of Planning (MPL) degrees from the University of Southern California and a BA in Architecture from Yale University.

Course Requirements

1. *Preparation and participation.* The class will hold regular in person meetings during the Tuesday evening class time. Students will be expected to participate in these meetings. Much of the class time will be spent either in large or small group discussions. However, if you are unwell, please let the instructor know and you may log in via Zoom or watch the Zoom recorded sessions. However, classroom participation in classroom discussions is an important aspect of the class and Zoom participation will be limited.
2. *Writing assignments.* A few 2-3 page writing assignments will be assigned during the semester class. Writing is an important part of policy making. Assignments will be due at the beginning of class session.
3. *Policy Formulation and Implementation Analysis – Semester Project.* Students will work in teams to 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 4, the instructor will assign students into teams of four or five 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.
 - B. Students will prepare a series of individual assignments that will contribute to completion of a final group policy formulation and implementation analysis:
 - Issue Briefer. The teams will divide up the assignment to research various aspects of the issue at hand, utilizing frameworks from PPD 554. Students will write an individual 2 – 3 page issue briefer that frames some component of the issue in a manner that advances the team project.
 - Policy instruments briefing. The team will prepare an 8 – 10 minute briefing, to be presented in class, that will apply readings on policy instruments to the case. This assignment will either identify policy designs or mechanisms currently in use or will propose options for action on the topic.
 - Draft report section. Each student will be responsible for preparing a section of the policy formulation and implementation analysis report, which may include the issue overview, political/organizational context, analysis, and/or recommendation section. Each section should be 4 – 5 written pages, not including references and any illustrations.

- Full draft report. The team will produce a full draft report of approximately 20 to 30 pages (single), incorporating material prepared in assignments (a through c) above.
- Final Report. The final report (about 30 pp. single) will be revised and refined based on instructor (and peer) feedback on the draft report.

Assignment Deadlines, Submission Policies, and Grading:

Assignment	Length	Deadline	Percent of Grade
Class meetings – attendance and participation	NA	Regular	20%
Assignments – writing and survey	Typically, 2 – 3 pages	As assigned, by 6PM	20%
Policy analysis project			60%
<i>Issue Briefer (individual)</i>	<i>2 – 3 pages</i>	<i>March 7, 6 PM</i>	<i>15%</i>
<i>Policy instruments briefing (group)</i>	<i>8 - 10 minutes</i>	<i>March 28, (in class)</i>	<i>5%</i>
<i>Draft section (individual)</i>	<i>4 - 5 pages</i>	<i>April 11, 6 PM</i>	<i>15%</i>
<i>Policy white paper (group)</i>	<i>20 - 30 pages</i>		
<i>Draft</i>		<i>April 18, 6 PM</i>	<i>10%</i>
<i>Presentation</i>	<i>15- 20 minutes</i>	<i>April 25 (in class)</i>	<i>5%</i>
<i>Final</i>		<i>May 2, 9 PM</i>	<i>10%</i>

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. Please use 11-12 point, sans serif font.

File exchange protocol: All file exchange will be handled electronically through submission and return of electronic documents using the Assignment 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., nadel_briefer.doc). Repeated submission of improperly labeled files will result in a grade penalty.

Policy on late and missing assignments: I will grade late assignments down by approximately 10 percent for each day late. Please inform me in advance if you must miss a deadline.

Required Readings

Books: Available from online booksellers and in Kindle version

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.

Course Schedule

Week 1 (January 10): Introduction and course overview

Required readings are due prior to the in-class meeting.

Required Reading(s):

- Review notes/slides from PPD 554
- Review Bardach and Patashinick, Pennock, from PPD 554
- Sandfort and Moulton (2015) - Preface

Assignment Due:

- Introduction and self-reflection. Due on January 17th by 6pm via Blackboard Assignment.

PART ONE: POLITICS AND POLICY FORMULATION

Week 2 (January 17): Bounded Rationality and Consequences of Public Policy

Required Reading(s):

- 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.

In Class:

- Case Study – Policy example of consequences of a public policy

Assignment Due:

- Policy interests. Due on January 24th by 6pm via Blackboard Assignment.

Week 3 (January 24): Political institutions and culture

Required Reading(s):

- Baumer and Van Horn, Ch. 1-3, pp. 1-91

In Class:

- A. Guest speaker: Elected official
- B. Group time: In-class time to discuss policy issues preferences

Assignment Due:

- Survey of policy topics of interest: Due by Monday, January 30 by 6pm.

Week 4 (January 31): Legislative and bureaucratic politics

Required Reading(s):

- Baumer and Van Horn, Ch. 4-6
- Peter Detwiler, "An Approach to Analysis," Senate Local Government Committee, 2007.
<https://sgf.senate.ca.gov/approachtanalysis>

In Class:

- A. LA County Board of Supervisors meeting: video and discussion
- B. Group time: Develop a group write up of proposed policy issue. Why is it important? Why does it matter?

Assignment Due:

- Writing assignment regarding an agenda item TBD. Due by February 7th by 6 PM.

Week 5 (February 7): Courtroom and Livingroom Politics

Required Reading(s):

- Baumer and Van Horn, Ch. 7-8

In Class:

- Guest Speaker: Policy-making perspective from non-profits/activists

Week 6 (February 14): When "policy windows" open

Required Reading(s):

- Nikalaos Zaharidis, 2007, "The Multiple Streams Framework: Structure, Limitations, Prospects," in Sabatier, *Theories of the Policy Process*.

- Grossman (2012) “Interest Group Influence...” *Interest Groups & Advocacy* Vol. 1, 2, 171–192.
- Marshall Ganz, “A Nation of Organizers: The Institutional Origins of Civic Volunteerism in the United States,” *American Political Science Review*, [Vol. 94, No. 3 \(Sep., 2000\)](#), 527-546

In Class:

- Discussion on policy windows
- Guest speaker: Mark Baldassare, Senior Fellow in the Bedrosian Center - Polling in Public Policy (In person on February 15th at noon or watch recording)

Week 7 (February 21): “Policy tools” and the politics of design

Required Reading(s):

- 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*, 3rd edition.
- Peter May, 1981, “Hints for Crafting Alternative Policies,” *Policy Analysis*.
- Varvarovszky, Z., & Brugha, R. (2000). How to do (or not to do) a stakeholder analysis. *Health Policy and Planning*, 15(3), 338-345.

In Class:

- Discussion of stakeholders/perspectives
- Group practice: identifying stakeholder interests/needs

Week 8 (February 28): Policy formulation application/extension (Asset-based community analysis and application of logic models)

Key Policy Tools: Along with the policy tools shared in this week’s readings, key policy analysis tools we’ll discuss and practice this week are asset-based community analysis, logic models, backwards-mapping, and evidence-based analysis.

Required Reading(s):

- Mathie, A., and Cunningham, G. (2015). *From clients to citizens: Asset-based Community Development as a strategy for community-driven development*. Development in practice.
- Elmore, R. (1980). Backwards Mapping: Implementation Research and Policy Decisions.
- McLaughlin, John and Jordan, Gretchen. (2015). “Using Logic Models” in a *Handbook of Practical Program Evaluation, Fourth Edition*.

In Class:

- Discussion of Policy Tools
- Group Practice on Analysis

Assignment Due:

- Individual Issue Research Briefer due via Blackboard Assignment, March 7th by 6 PM.

PART TWO: IMPLEMENTATION, GOVERNANCE, AND EFFECTIVE PRACTICE

Week 9 (March 7): Implementation and Governance

Required Reading(s):

- Sandfort and Moulton, Ch. 1-2
- Christensen, J. et al, "How Do Elected Officials Evaluate Performance? Goal Preferences, Governance Preferences, and the Process of Goal Reprioritization," *Journal of Public Administration Research and Theory*, Volume 28, Issue 2, April 2018, Pages 197–211

In Class:

- Case study discussion

Week 10 (March 14): SPRING BREAK

Week 11 (March 21): Implementation "fields" and the theory/logic of change (focus on teaching logic models)

Required Reading(s):

- Sandfort and Moulton, Ch. 3-4
- Stoker, G. (2020) Translating Experiments into Policy. *Annals of the American Academy*. Volume 628, March 2020.
- Reading: W.K. Kellogg Foundation (2004). "Using Logic Models to Bring Together Planning, Evaluation, and Action: Logic Model Development Guide."

In Class:

- Discussion of Logic Models
- Group time to work on Logic Models for Project Policy Assessment

Week 12 (March 28): Organizations and “Front Line” Workers

Required Reading(s):

- Sandfort and Moulton, Ch. 5-6

In Class:

Policy Instruments Briefing presentations

Assignment(s) Due:

- Group submission via Blackboard Assignment of slide presentation due by March 28th at 9:30 PM (by end of class)

Week 13 (April 4): Getting policies to work: Evidence-based and “smart” practice research

Required Reading(s):

- Sandfort and Moulton, Ch. 7 – 8
- Bretschneider et al. (2005) “Best Practices Research: A Methodological Guide for the Perplexed,” *JPART*, 5: 307-323.

Assignment(s) Due:

- Policy Formulation and Implementation Analysis Drafts – individual sections due April 11th by 6 PM via Blackboard Assignment and Turnitin.

Week 14 (April 11): Civic engagement in policy formulation and implementation

Required Reading(s):

- 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.

Assignment Due:

- Policy Formulation or Implementation Drafts (group) drafts due, April 18th by 6pm.

Week 15 (April 18): Applying Policy Tools

Required Reading(s):

- Sandfort and Moulton, Appendices

In Class:

- Case studies: Using analytical tools

Week 16 (April 25): Topical application/extension – How narrative shapes public policy formulation and implementation

Required Reading(s):

- Kennedy School Review, 2016. Two Stories, One America: How Political Narratives Shape Our Understanding of Reality./ <https://ksr.hkspublications.org/2016/07/20/two-stories-one-america-how-political-narratives-shape-our-understanding-of-reality/>
- Epstein, D; Farina, C.; Heidt, J. The value of words: narrative as evidence in policy making. Evidence & Policy: A Journal of Research, Debate and Practice, Volume 10, Number 2, May 2014, pp. 243-258(16)
(www.ingentaconnect.com/content/tpp/ep/2014/00000010/00000002/art00006)

In Class:

- Group presentations and discussions

Assignment(s) Due:

- Policy Formulation and Implementation Analysis FINAL REPORT due via Blackboard, May 2nd by 9 PM.

Statement on Academic Conduct and Support Systems

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 the [USC Student Handbook](#). Other forms of academic dishonesty are equally unacceptable. See additional information in the [USC Student Handbook](#) and university policies on [Research and Scholarship Misconduct](#).

Students and Disability Accommodations:

USC welcomes students with disabilities into all of the University’s educational programs. The Office of Student Accessibility Services (OSAS) is responsible for the determination of appropriate accommodations for students who encounter disability-related barriers. Once a student has completed the OSAS process (registration, initial appointment, and submitted documentation) and accommodations are determined to be reasonable and appropriate, a Letter of Accommodation (LOA) will be available to generate for each course. The LOA must be given to each course instructor by the student and followed up with a discussion. This should be done as early in the semester as possible as accommodations are not retroactive. More information can be found at osas.usc.edu. You may contact OSAS at (213) 740-0776 or via email at osasfrontdesk@usc.edu.

Support Systems:

Counseling and Mental Health - (213) 740-9355 – 24/7 on call
studenthealth.usc.edu/counseling

Free and confidential mental health treatment for students, including short-term psychotherapy, group counseling, stress fitness workshops, and crisis intervention.

National Suicide Prevention Lifeline - 1 (800) 273-8255 – 24/7 on call
suicidepreventionlifeline.org

Free and confidential emotional support to people in suicidal crisis or emotional distress 24 hours a day, 7 days a week.

Relationship and Sexual Violence Prevention Services (RSVP) - (213) 740-9355(WELL), press “0” after hours – 24/7 on call
studenthealth.usc.edu/sexual-assault

Free and confidential therapy services, workshops, and training for situations related to gender-based harm.

Office for Equity, Equal Opportunity, and Title IX (EEO-TIX) - (213) 740-5086
eeotix.usc.edu

Information about how to get help or help someone affected by harassment or discrimination, rights of protected classes, reporting options, and additional resources for students, faculty, staff, visitors, and applicants.

Reporting Incidents of Bias or Harassment - (213) 740-5086 or (213) 821-8298
usc-advocate.symplicity.com/care_report

Avenue to report incidents of bias, hate crimes, and microaggressions to the Office for Equity, Equal Opportunity, and Title for appropriate investigation, supportive measures, and response.

The Office of Student Accessibility Services (OSAS) - (213) 740-0776
osas.usc.edu

OSAS ensures equal access for students with disabilities through providing academic accommodations and auxiliary aids in accordance with federal laws and university policy.

USC Campus Support and Intervention - (213) 821-4710

campussupport.usc.edu

Assists students and families in resolving complex personal, financial, and academic issues adversely affecting their success as a student.

Diversity, Equity and Inclusion - (213) 740-2101

diversity.usc.edu

Information on events, programs and training, the Provost's Diversity and Inclusion Council, Diversity Liaisons for each academic school, chronology, participation, and various resources for students.

USC Emergency - UPC: (213) 740-4321, HSC: (323) 442-1000 – 24/7 on call

dps.usc.edu, emergency.usc.edu

Emergency assistance and avenue to report a crime. Latest updates regarding safety, including ways in which instruction will be continued if an officially declared emergency makes travel to campus infeasible.

USC Department of Public Safety - UPC: (213) 740-6000, HSC: (323) 442-120 – 24/7 on call

dps.usc.edu

Non-emergency assistance or information.

Office of the Ombuds - (213) 821-9556 (UPC) / (323-442-0382 (HSC)

ombuds.usc.edu

A safe and confidential place to share your USC-related issues with a University Ombuds who will work with you to explore options or paths to manage your concern.

Occupational Therapy Faculty Practice - (323) 442-3340 or otfp@med.usc.edu

chan.usc.edu/otfp

Confidential Lifestyle Redesign services for USC students to support health promoting habits and routines that enhance quality of life and academic performance.