

**Tennessee State University  
Department of Public Administration**

PADM 7410 section 80  
Seminar in Public Policy Implementation  
Fall, 2012  
Wednesdays 5:00-8:00 PM

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**This is a sample for prospective students. Current students should NOT purchase books based on this - consult your instructor!**

***Course Description***

This seminar focuses on models of the implementation phase of the policy process drawing on political science, economics, organization theory, decision-making and innovation literature. The purpose of this course is to provide students with a theoretical base for understanding public policy formulation and implementation. This course will also instruct students on the various processes and mechanisms used to put policies in place.

***Prerequisites***

- A master's level course in public policy formulation in American government covering basic organizational functions and decision-making processes.
- Effective communication skills at a level expected of those who have earned a masters.

***Course Objectives and Methodology***

Public policies are rarely self-executing. Policy implementation is the stage of policy-making between the establishment of a policy --- such as the passing of a legislative act, the issuing of an executive order, the handing-down of a judicial decision – and the consequence of the policy for the affected population or area. The primary focus of this course is on the ability of government to deliver – to implement – the specific objectives that are set forth in constitutionally adopted public policies. The particular program subject matter to be implemented is obviously important, but takes a secondary role in this course, which focuses on ‘who implements’, ‘how’, and ‘how well’ programs are executed. In particular, the course involves asking precisely what are we talking about when we use the word ‘implementation’ and other terms such as administration, program operations, procedures, etc, that are related to implementation.

This course follows the seminar format; however, topics will be conveyed by lectures, film, student presentations and group discussions. An understanding of selected theories and principles will be supplemented by case studies, media coverage of current events and feedback.

At the completion of this course, students should have an understanding of the major approaches to policy formulation, as well as the complexities and subtleties of the implementation process. Specifically, students enrolled in this course should gain knowledge of:

- the institutional processes that govern policy implementation
- alternative models for explaining how public policy is implemented
- various actors (stakeholders) and actor groups involved in policy implementation
- the effect of implementation on policy content and results
- common administrative tools used for policy implementation
- the relationship between how a statute defines policy objectives and the structure of implementation
- what structural and environmental impediments are placed in the path of implementers

### *Learning Objectives*

As **first-order or fundamental learning objectives**, students successfully completing this course should be able to:

- outline the major schools of public policy research and theory, or public policy studies, as well as trace their historical streams or derivation;
- describe the field of public policy implementation through major concepts, authors and works;
- explain important models of public policy implementation including rational choice, multiple streams, social construction, network, punctuated equilibrium, advocacy coalition, innovation and diffusion and large-N comparative approaches.
- describe and critique macro as well as micro level system treatments of implementation.

In addition, the following higher order **doctoral level skills** should also be successfully demonstrated. Students should be able to:

- analyze alternative models in terms of their strengths and weaknesses;
- demonstrate a sound grasp of public policy research including major themes, common methodologies, and findings as well as limitations and criticisms of that research;
- critically analyze the assumptions and applicability or relevance of selected examples of public policy research literature;
- interpret recent developments in public policy research (PPR), present the current status of PPR, and chart future directions.

## **Class Conduct**

Because this is a doctoral-level required course, the class will be conducted as a seminar. Students are expected to come to class regularly, on time and thoroughly prepared with assigned reading. These assignments are intended to provide the elements of mastery in the subject and are therefore not to be read cursorily but with great attention to the content. Be prepared to come to class to demonstrate that you think critically, analytically, with questions and commentaries at the ready. Seminars are the preferred vehicle for learning when all students are prepared and are capable of sharing in an informed and relevant exchange of ideas concerning the topic of choice. In an effective seminar, the instructor is available as a mentor, guide and resource person. The students “own” the class because they take responsibility for their learning. The student takes the role of a self-directed learner, one who can read the material carefully, summarize it succinctly, but beyond those basics, can apply what s/he has read, compare it to other views, and critique it in a scholarly fashion. Please refer to the learning rubric under Course Evaluation for further elaboration.

### ***Academic integrity***

According to the *TSU Graduate Catalog, 2005-2007* (p. 30), conferral of a graduate degree implies personal integrity and knowledge of scholarly methods. Therefore, there are three areas to which graduate students should pay particular attention:

- 1) proper acknowledgement of cited works,
- 2) the use of copyrighted material, and
- 3) The proper reporting of works where research compliance is required.

Any material taken from another work must be documented, and in no case should one represent another's work as one's own, this includes information received from others during examinations or submitting another's assignments, papers, etc. as one's own. Students involved in collaborative research to avoid questions of plagiarism should exercise extreme caution. If in doubt, students should check with the major professor and the graduate school about the project. Plagiarism will be investigated when suspected and prosecuted if established.

***Accommodations for Students with Disabilities:*** Any student who feels the need for academic accommodations due to a recognized disability, as stated in *The TSU Handbook*, will be offered adjustments only after the students proceeds through proper channels at the University. *The TSU Handbook* is the source for identifying proper procedures. The University's main campus Office of Disabled Student Services is the assisting unit. The director is Patricia Scudder who can be reached at 615 963-7400.

## *Course Requirements*

### **Class Participation, Attendance and Reporting (20%)**

This course will be organized in a seminar format where students are responsible for reading all assignments and presenting/discussing the material in class. This also means that since students are responsible for their own learning that if questions or problems arise, they need to take initiative and seek assistance. All students are expected to volunteer to lead discussion of several reading assignments through providing insight-provoking, thoughtful questions for the class to consider. Reporting on class assignments will be required. Due to the class size, it is estimated that two assignments per students may be possible.

With regard to class participation, it is important to attend class regularly. One class absence is tolerated, two class absences will result in a five-point deduction from the final grade. With three absences from class the student will be asked to withdraw from the course.

Selective Reading Discussion – These assignments are designed to strengthen each student’s depth of understanding about the course materials and to formulate your personal paradigm. Perhaps Dr. Stephen R. Covey, the author of *The 7 Habits of Highly Effective People* said it best, when he said that three elements are essential to becoming effective in whatever you choose to pursue:

- a. First, you must learn the material.
- b. Second, you must teach the material.
- c. Third, by mastering these two elements, you are more likely to apply the material to your life.

Teaching the material requires students to think deeply about the concepts than they otherwise would have because in teaching others, you are making a personal statement, a commitment about the material, and forming your paradigm of the way you see the world.

To serve this end, each student will lead discussion on at least one major reading for the semester. The student will in effect serve as expert on that reading to:

- Compel students to discuss the reading; what are its key lessons?
- “connect” the reading with the world of practice either through personal experience or supplementary reading;
- provide a context for assessing its value or importance; and
- lead class discussion on substantive issues.

## Research project (25%)

This research paper will test your ability to research and employ readings from academic journals. Your charge is to capture contemporary *public policy research* by surveying academic journals dealing with the subject. Aim for the *essentials* which a student should know to master the subject. To complete this assignment you will need to survey the academic/research literature of organization theory and behavior. The form for this paper can be an annotated bibliography or an analytic paper of your own design. If used, Internet sources can form only a small portion - less than 20% - of the references employed. Guidelines and related details follow at the end of the syllabus.

This paper is due **November 28th** in the eLearn drop box. Late papers will not be accepted. If you foresee a problem with the deadline, please notify me in advance.

## Grading Criteria for Assignments:

To offer a general idea of the categories of evaluation the instructor will use in all projects, the rubric below roughly corresponds to “C” (inferior), “B” (solid), and “A” levels of performance.

<i>Evaluation Criteria for Papers and Examinations</i>			
CRITERION	RUBRIC: Inferior	RUBRIC: Solid	RUBRIC: Outstanding
Understanding	Seems to understand class texts and requirements but does not express this understanding clearly and explicitly. Does not use concepts from the text or class to analyze the paper/project elements	Has a very solid grasp of the concepts used in class. Discusses the ideas clearly and explicitly in paper. Rarely misunderstands the materials or expresses it poorly.	Has a subtle and sophisticated understanding of conceptual and theoretical material. Uses several concepts from PA to analyze the paper/project elements. Can see beyond what was taught and form own ideas.
Using Concepts	Examples or analogies are not quite right, or are naïve (or uses only the examples provided by text or professor) Comparisons and contrasts between various concepts are naïve or unclear or wrong Does not apply theory to practical experience appropriately	Uses appropriate examples and/or analogies. Makes appropriate comparisons and contrasts between various concepts used in class. Can apply theory and ideas to practical experience. Demonstrates knowledge required for the paper/project.	Examples and analogies are not only interesting but suggest additional possibilities. Discussion of them is clear and appropriately detailed. Makes insightful contrasts between various concepts. Applies theory and ideas creatively and derives learnings from them.

Critical Thinking and Reasoning	Mostly reiterates what was discussed in text or in class. Makes inappropriate inferences. Accepts what others say or write uncritically	Occasionally offers critical commentary in paper/project. Can identify underlying theory or values in what is read, Arguments are logical and clear.	Offers penetrating criticism of material, appropriately praising or criticizing and explaining <i>why</i> . Arguments are sophisticated and clear.
Writing	Paper or project has several spelling or grammar errors, no evidence of revision; unclear	Paper or project has few spelling or grammar errors, shows evidence of revision; reasonably clear	Presentation has no errors in spelling, grammar, shows evidence of revision; very clear and graceful

In addition to the general categories provided in the rubric, add these fundamentals which distinguish graduate level work (Stanley PADM 7310 Syllabus, 2006):

- 1) *Analysis*: A sufficient number of organization theory concepts are used to analyze the situation discussed;
- 2) *References*: A variety of pertinent and timely references were sought and obtained in the paper's preparation. Reliable, scholarly academic works are used, e.g. refereed academic journals, not *USA Today* or Wikipedia!
- 3) *Organization*: The main points are stated clearly and arranged in logical sequence;
- 5) *Coherence*: The development of ideas, arguments and discussion shows consistency and logical connection;
- 6) *Conciseness*: The language is direct and to the point, using sufficient space to say precisely what is intended to be readily understood by the reader;
- 7) *Grammar*: The written is in standard American English, with proper sentence structure, syntax, punctuation and spelling;
- 8) *Drafting*: The writing shows evidence of being drafted, revised and edited before submission of final copy;
- 9) *Following Directions*: Identifying and addressing all components of the project the instructor outlines;
- 10) *Timeliness*: Turning the project in on the specified date as assigned by the instructor.

### **Examinations**

**Midterm: 25%**

**Final: (30%)**

The two written examinations will consist of essay and short answers which test the student's ability to apply what was learned to a given problem or set of criteria. As an example, students might be asked to compare the writings of one author with another; in other questions students

might be charged with classifying various theories by concepts. The written examinations will be held in class on **October 24th** and **December 12<sup>th</sup>**.

To practice test answers and to prepare students to anticipate important areas of study, there may be a series of “pop” quizzes, not for credit. These quizzes are intended to teach essay preparation as well as serve as regular feedback on a student’s learning. Each quiz will be completed and “graded” anonymously with identification numbers so that only the student knows how he or she is progressing in the course.

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Kerwin, Cornelius M. *Rulemaking: How Government Agencies Write Law and Make Policy*. Washington, D.C.: Congressional Quarterly, 1994. ISBN 0-87187-673-6.

Moran, Michael, Martin Rein and Robert E. Goodin (Editors) *The Oxford Handbook of Public Policy*. N.Y.: Oxford 2008, ISBN 978-0-19-954845-3

Pressman, Jeffrey and Aaron Wildavsky. *Implementation*. Third edition, expanded. Berkeley: University of California, 1984 ISBN 978-0-520-05331-1.

Sabatier, Paul A. *Theories of the Policy Process*. Boulder: Westview, second edition (paper), 2007, ISBN-10: 0-8133-4359-3.

Select journal articles, conference papers or book chapters as needed.

### ***Recommended texts:***

Anderson, James. *Public Policymaking*. Wadsworth, seventh edition. ISBN: 9780618974726.

Hill, Michael and Peter Hupe, *Implementing Public Policy*, Second Edition, SAGE Publishers, ISBN 978-0-4129-4799-2

Kerwin, Cornelius M. *Rulemaking, How Government Agencies Write Law and Make Policy*, Third Edition, Congressional Quarterly Press: Washington, D.C. 2003. ISBN: 1-56802-780-X

Salamon, Lester M. (Editor) *The Tools of Government: A Guide to the New Governance*. N.Y.: Oxford, 2002, ISBN 13 978-0-19-513665-4

## **Course Schedule**

8/29	Introduction, Assignments and a Refresher	
9/5	Why is Public Policy Research Important?	Sabatier 1
	Historical Roots	Moran, 1-2
	Implementation and Evaluation as Learning	Pressman/Wildavsky, Preface to 3 <sup>rd</sup> Edition, Preface to 1 <sup>st</sup> Edition; ch. 1
9/12	A dialogue between 5 modes of policy analysis	
	What is policy analysis?	Moran, Part III
	Ch. 5 It's Puzzle Solving _____	
	Ch. 6 It's Critical Listening _____	
	Ch. 7 It's Policy Advice _____	
	Ch. 8 It's about Democracy _____	
	Ch. 9 It's Critique _____	
	Ch. 17 It's Learning _____	
9/19	Implementation and Evaluation as Learning	Pressman/Wildavsky, chs. 2 - 6
9/26	Implementation: Lessons from Experience; Implementation as Evolution, Evaluation, Mutual Adaptation, Exploration	Pressman/Wildavsky, chs.7 - 11
10/10	The Role of Rulemaking in Policy Execution	Kerwin, chapters 1-2, Ch. 3 _____ Ch. 6 _____
10/17	Agendas and Agenda Setting	Moran, ch. 11 _____
	<b>Guest Lecturer</b> Institutional Rational Choice	Sabatier, ch. 2
	Rules from Another Perspective (March & Olsen)	Moran, 34
	Multiple Streams Models	Sabatier 3 _____
<b>10/19</b>	<b>DOCTORAL STUDENT ROUNDTABLE – mandatory for all doctoral students</b>	
10/24	<b>Midterm examination in class</b>	



10/31	Advocacy Coalition Models	Moran, ch. 12 _____ Sabatier, ch. 7 _____
	The Network Approach	Sabatier, ch. 5 _____ Moran, ch. 20 _____
10/31	Punctuated Equilibrium Theory	Sabatier, ch. 6 _____ Moran, ch. 16 _____
	Social Construction Models	Sabatier, ch. 4 _____ Moran, ch. 13, _____ ch. 18 _____
11/7	Assessing Policies and Programs	Moran, ch. 14 _____ 15 _____ 36 _____ 37 _____ 39 _____
11/14	Frameworks for Large Systems (Sabatier, part IV)	
	<i>Ch. 8 Stokes Berry &amp; Berry, Innovation and Diffusion Models</i>	_____
	<i>Ch. 9 Blomquist, ...Large-N Comparative Policy Studies</i>	_____
	Policy Types and Intervention Rationales (in Moran, et al)	
	<i>30 Sefton, Distributive and Redistributive Policy</i>	_____
	<i>31 Klein and Teles, Market and Non-Market Failures</i>	_____
	<i>32 Scott, Privatization and Regulatory Regimes</i>	_____
	<i>33 Fung, Democratizing the Policy Process</i>	_____
11/21	Thanksgiving holiday	
11/28	<b>Research Paper is due</b>	
	NPM, Privatization and Smart Policies	Moran, ch. 21 _____ Ch. 23 _____ Ch. 24 _____
	Economic, Political and Institutional On Public Policy	Moran, chs. 25 _____ Ch. 26 _____ Ch. 27 _____

12/12 **Final examination in class**

## **APPENDIX 1: PADM 7410 Public Policy Implementation**

### **Research Project: Literature Review**

The goal of this assignment is to investigate a topic or problem in the public policy literature that interests you sufficiently to create an original literature review. Public policy literature includes substantive public policies (education, housing, etc.), policy analysis tools and techniques (waivers, vouchers), public policy frameworks (principal-agent models), a conceptual problem (citizen participation strategies) and program evaluation. Consider this assignment as rehearsal for writing the literature review chapter for your dissertation. Such a review should provide the reader with an understanding of the relevant research and writing on this topic over time. How did this topic develop in the literature? Who were the major authors, works cited along the way? What are the major themes which have emerged to crystallize the topic? *You* articulate the themes, inferring them from cited literature. This project should synthesize or integrate the essential work on your chosen subject to provide the theoretical foundation as if preparatory to subsequent empirical research.

Because this is not intended to be a position paper, you must include work from a variety of perspectives. And you must take care to integrate literature across concepts. For example, if you were to research accountability issues in charter schools (a general, vague example), you would consider how accountability is conceived and measured through the public administration literature historically. You would research charter schools as experiments or reforms in education along with related treatments of other alternatives to public education delivery design. In so doing, you would be expected to cover research and literature which found charter schools in particular meeting accountability standards as well as studies finding the contrary. Both pro and con arguments would be expected.

At the close of this literature review you will include a problem statement which conceivably could be researched at a later date. This problem statement should then be followed by related theoretical hypotheses which could conceivably guide later quantitative or qualitative

research. While you are not expected to carry out that research project, the problem statement and hypotheses should meet the test of practicability. Another way of stating this is if this review were part of a dissertation or prospectus, it would lay the groundwork for the research design and methodology chapter where these same hypotheses would be operationalized.

A literature review of this kind should aim to capture the relevant and important literature on this subject in comprehensive fashion. It need not however attempt to summarize or delve into works cited; this paper is not an annotated bibliography. Finally, this review project should not have been submitted for another class at the university. If you feel you can make a justifiable argument to except you from this rule, please consult the instructor.

Recommended length of this project: 15 to 20 pages inclusive of bibliography.

Citation and reference format – American Psychological Association (APA) style (author, date)

Submission deadline: as specified in course schedule

Please consult the instructor regarding your progress. If you have doubts regarding acceptability of topic or your research strategy, it is advisable to acquire feedback sooner rather than later.