

**PADM 570: Pro-Seminar in Public Policy
SPRING 2013**

Instructor: Shane Day

Time: Tuesdays, 4:00pm - 6:30pm

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Or by appointment

Course Description and Goals:

Public policy can be defined as the system of authoritative decisions, regulatory measures, laws, funding decisions, and other decision-making processes surrounding the provision of public goods. While the field has historically been associated primarily with the decision-making processes of government, the policy roles of various interest groups, corporate entities, and other non-governmental organizations have been an increasing focus of scholarship as governance has evolved into a variety of more informal processes. As a result, the field of public policy is increasingly concerned with examining the decision-making processes of government organizations in concert with other social institutions, and examining the causes and consequences of these decision-making processes. Given the complexity of such processes, the study of public policy is a vibrant multi-disciplinary field that draws upon work from traditional social science disciplines such as political science, economics, sociology, psychology, etc., as well as other applied fields such as public administration, business administration, education, social work, etc. As such, there is a wide variety of theoretical approaches to the study of public policy, and the focus of this course will be on examining the predominant schools of thought that have emerged in the field.

It is also important to distinguish between policy research and the applied fields of policy analysis and program evaluation. The emphasis in this course will be an examination of the academic study of policy, which seeks to explain a wide range of phenomena such as the reasons for why a policy was adopted, what probable effects it will have, and whether the process conforms to expected models of individual and organizational behavior. In contrast, the field of policy analysis is defined by Weimer and Vining as "client oriented advice relevant to public decisions and informed by social values". The related field of program evaluation has been defined by Rossi and Freeman as "the use of social research methods to systematically investigate the *effectiveness* of social intervention programs in ways that are adapted to their political and organizational environments and are designed to inform social action to improve social conditions". In other words, both policy analysis and program evaluation are more applied endeavors that require the use of various analytical methods and context-specific knowledge, and which tend to be very restricted and focused on a specific issue or program. This course is much more broadly construed, and designed to provide students background theoretical and applied knowledge of the complexities of the policy process, which may then inform the professional tasks of policy analysis and/or program evaluation.

Therefore this course has been developed as a survey seminar that will rely heavily upon round-table discussion of the key themes and material of a given week. While I will often give brief

lectures on core material, students should expect much less lecture and much more in the way of group interaction. As a result, active student involvement will be essential, and students will be expected to be prepared to participate in class by doing the assigned readings and other assignments for that week, as student participation and debate will be central to the learning outcomes for the course. Several research and writing assignments will also be key components in our endeavor to integrate the course material.

By the end of the course students should come away with:

- 1) A clearer understanding of the policy-making process;
- 2) A primer in the classic foundational literature of the field, as well as the dominant frameworks that inform much of the current policy literature;
- 3) Exposure to a variety of policy issue areas that will be used to illustrate the core theoretical concepts introduced in class;
- 4) A greater appreciation of the various disciplinary contributions to the study of public policy;
- 5) An understanding of how policy research informs the applied fields of policy analysis and program evaluation; and
- 6) Experience in conducting academic research using one or more of the frameworks explored in class.

Required Materials:

There is one required textbook for this course:

Sabatier, Paul A. 2007. *Theories of the Policy Process*, 2nd Edition. Boulder, CO: Westview Press.

Additional readings will be available online through UNM Learn. Students should regularly consult UNM Learn through the University of New Mexico Homepage, as I will post the syllabus, course announcements, and other course materials throughout the semester.

Communication:

The easiest way to get a hold of me is through email at shaneday@unm.edu. I will check my email regularly and will respond as soon as I am able (*nota bene*: my availability over the weekend will often be limited). I will also be maintaining regular office hours, and am happy to meet with you in my office outside of established hours if I am available – arranging an appointment beforehand is helpful but not essential. I will also be using UNM Learn for posting course announcements – again, be sure to check it regularly. Furthermore, as of this semester, all students are REQUIRED to use their UNM email accounts for all electronic communications. This includes using only your UNM email account and Banner ID in the UNM Learn system. No communication will be conducted with outside (e.g. Gmail, Yahoo, etc.) email accounts.

Course Requirements and Grading:

Again, this course will be run as a seminar, which will require a good deal of participation from the class. I will do some lecturing, but will often try to generate class discussion as a means of teasing out key lessons and issue areas. Therefore, I expect frequent attendance and ample preparation before class – this assumes that students will have read the readings for any particular week *before* class is held. The primary weekly course requirement of students then

will be weekly reading summaries and discussion questions that should be submitted to me by 5pm on the Monday preceding class. Students should write a half page summary of the key themes of the week's readings, and include three to five discussion questions inspired by the readings for that week. The submission of discussion questions is expected *every week* of the semester starting with the readings for Week Two, although each student will be excused for missing two weeks during the semester, without a grade penalty being assessed. Active attendance and participation will also be expected, and will constitute 20% of students' final grade.

Two writing projects will round out students' final grades. First, students will produce a paper that takes a policy issue area of their choice and compares the applicability of the various policy frameworks that will be examined in class to this issue area. Second, students will write a final paper which identifies a research question pertinent to the general study of public policy. Students will then choose a specific framework and develop hypotheses pertaining to some aspect of the policy area under examination. Students will also be expected to produce a 15 minute presentation of their final paper projects during Finals Week. More information on the writing assignments will be provided at a later date.

Key Dates:

Every Monday, 5pm: Reading Summaries/Discussion Questions to be submitted by 5pm

4/8: Comparison of Frameworks Paper Due

5/10: In-Class Presentations and Final Paper Due

Grading:

The weighting of the course elements for the semester grade is as follows:

Reading Summaries/Discussion Questions	30%
Comparison of Frameworks Paper	15%
Final Paper and Presentation	35%
Participation	20%

Course Schedule and Outline:

The following is a tentative schedule of weekly topics. Note: the schedule is subject to change. I reserve the right to make revisions to the syllabus and to make adjustments to the reading assignments. I will announce such changes in class and through UNM Learn.

Week One – 1/21: Introductions

Week Two – 1/28: Public Policy as a Field of Study, Policy Typologies, and the Policy Cycle

Read: Excerpts from Anderson, James E. 2011. *Public Policymaking*.

Lowi, Theodore J. 1972. "Four Systems of Policy, Politics, and Choice." *Public Administration Review*, 32(4): 298-310.

Excerpt from Ostrom, Elinor. 2005. *Understanding Institutional Diversity*.
Sabatier, Chapter 1.

Wilson, James Q. 1980. *The Politics of Regulation*, Chapter 10.

For Further Reading Check Out:

Dewey, John. 1927. *The Public and Its Problems*.

- Easton, David. 1965. *A Systems Analysis of Political Life*.
- Lowi, Theodore J. 1964. "American Business, Public Policy, Case-Studies, and Political Theory." *World Politics*, 16(4): 677-715.
- Lowi, Theodore J. 1988. "Foreword: New Dimensions in Policy and Politics." In Raymond Tatalovich and Byron W. Daynes, eds. *Social Regulation Policy*.

Week Three – 2/4: Economic Theory and its Relation to Public Policy

Read: Ostrom, Elinor. 2010. "Beyond Markets and States: Polycentric Governance of Complex Economic Systems." *American Economic Review*, Vol. 100. (Pages 1-5 only).

Excerpts from Weimer, David L. and Aidan R. Vining. 2005. *Policy Analysis: Concepts and Practice*.

Excerpts from Whelan, Charles. 2011. *Introduction to Public Policy*

For Further Reading Check Out:

Beard, Charles. 1913. *An Economic Interpretation of the Constitution*.

Cook, Karen and Margaret Levi. 1990. *The Limits of Rationality*.

Dahl, Robert. 1986. *A Preface to Economic Democracy*.

Jones, Bryan D. 2001. *Politics and the Architecture of Choice: Bounded Rationality and Governance*.

North, Douglass. 1990. *Institutions, Institutional Change, and Economic Performance*.

Olson, Mancur. 1971. *The Logic of Collective Action*.

Schneider, Anne and Helen Ingram. 1990. "Behavioral Assumptions of Policy Tools." *The Journal of Politics*, 52(2): 510-529.

Week Four – 2/11: Policy Analysis and Program Evaluation

Read: Excerpts from Weimer, David L. and Aidan R. Vining. 2005. *Policy Analysis: Concepts and Practice*.

Excerpts from Rossi, Peter H., Mark W. Lipsey, and Howard E. Freeman. 2004. *Evaluation: A Systematic Approach*.

For Further Reading Check Out:

Bardach, Eugene. 2011. *A Practical Guide for Policy Analysis: The Eightfold Path to More Effective Problem Solving*.

Bickers, Kenneth N. and John T. Williams. 2001. *Public Policy Analysis: A Political Economy Approach*.

Dunn, William N. 2011. *Public Policy Analysis: An Introduction*.

Kraft, Michael E. and Scott R. Furlong. 2012. *Public Policy: Politics, Analysis, and Alternatives*.

Patton, Carl V., David S. Sawicki, and Jennifer J. Clark. 2012. *Basic Methods of Policy Analysis and Planning*.

Patton, Michael Quinn. 1997. *Utilization-Focused Evaluation*.

Week Five – 2/18: The Policy Sciences Framework

Read: DeLeon, Peter. 1988. *Advice and Consent: The Development of the Policy Sciences*. Chapters 1-2.

Excerpts from Lasswell, Harold D. 1971. *A Pre-view of the Policy Sciences*.

For Further Reading Check Out:

Clark, Tim W. 2002. *The Policy Process: A Practical Guide for Natural Resource Professionals*.

DeLeon, Peter. 1997. *Democracy and the Policy Sciences*.

- Lasswell, Harold D. 1930. *Psychopathology and Politics*.
Lasswell, Harold D. 1936. *Politics: Who Gets What, When, How*.
Lasswell, Harold D. and Myres S. McDougal. 1992. *Jurisprudence for a Free Society: Studies in Law, Science, and Policy*.

Week Six – 2/25: Multiple Streams and Social Construction/Policy Design

Read: Sabatier, Chapters 3 and 4.

Excerpts from Stone, Deborah. 2011. *Policy Paradox: The Art of Political Decision-Making*.

For Further Reading Check Out:

- Cohen, Michael D., James G. March, and Johan P. Olsen. 1972. "A Garbage Can Model of Organizational Choice." *Administrative Science Quarterly*, 17: 1-25.
Kingdon, John W. 1995. *Agendas, Alternatives, and Public Policies*.
Schneider, Anne and Helen Ingram. 1997. *Policy Design for Democracy*.

Week Seven – 3/4: The Advocacy Coalition Framework

Read: Sabatier, Chapters 5-7.

Jenkins-Smith, Hank, and Gilbert St. Clair, and Brian Woods. 1991. "Explaining Change in Policy Subsystems: Analysis of Coalition Stability and Defection over Time," *American Journal of Political Science*, 35 (4): 851-872.

Mintrom, Michael and Sandra Vergari. 1996. "Advocacy Coalitions, Policy Entrepreneurs, and Policy Change," *Policy Studies Journal*, 24: 20-34.

For Further Reading Check Out:

- Baumgartner, Frank and Bryan D. Jones. 1993. *Agendas and Instability in American Politics*.
Jenkins-Smith, Hank and Paul A. Sabatier. 1994. "Evaluating the Advocacy Coalition Framework." *Journal of Public Policy*, 14: 175-203.
Sabatier, Paul A. and Hank Jenkins-Smith. 1993. *Policy Change and Learning: An Advocacy Coalition Approach*.
Sotirov, Metodi and Michael Memmler. 2012. "The Advocacy Coalition Framework in Natural Resource Policy Studies – Recent Experiences and Further Prospects." *Forest Policy and Economics*, 16:51-64.

Week Eight – 3/11: Comparative and Diffusion Models

Read: Howlett, Michael and M. Ramesh. 2003. *Studying Public Policy: Policy Cycles and Policy Subsystems*, Chapter 10.

Sabatier, Chapter 8 and 9.

Simmons, Beth A. and Zachary Elkins. 2004. "The Globalization of Liberalization: Policy Diffusion in the International Political Economy." *American Political Science Review*, 98(1): 171-189.

For Further Reading Check Out:

- Bennett, Colin J. and Michael Howlett. 1992. "The Lessons of Learning: Reconciling Theories of Policy Learning and Policy Change." *Policy Sciences*, 25(3): 275-294.
Dobbin, Frank, Beth Simmons, and Geoffrey Garrett. 2007. "The Global Diffusion of Public Policies: Social Construction, Coercion, Competition, or Learning?" *Annual Review of Sociology*, 33: 449-472.
Shipan, Charles R. and Craig Volden. 2008. "The Mechanisms of Policy Diffusion." *American Journal of Political Science*, 52(4): 840-857.

Week Nine – 3/18: SPRING BREAK – NO CLASSES HELD

Week Ten – 3/25: The Institutional Analysis and Development Framework (IAD)

Read: Excerpts from Ostrom, Elinor. 2005. *Understanding Institutional Diversity*.
Ostrom, Elinor. 2010. "Beyond Markets and States: Polycentric Governance of Complex Economic Systems." *American Economic Review*, Vol. 100. (Pages 5-33 only).
Sabatier, Chapter 2.

For Further Reading Check Out:

Ostrom, Elinor and James Walker (Eds.). 2002. *Trust and Reciprocity: Interdisciplinary Lessons from Experimental Research*.

Ostrom, Elinor, Roy Gardner, and James Walker. 1994. *Rules, Games, and Common-Pool Resources*.

Poteete, Amy R., Marco A. Janssen, and Elinor Ostrom. 2010. *Working Together: Collective Action, the Commons, and Multiple Methods in Practice*.

Week Eleven – 4/1: An Extension of IAD: Social-Ecological Systems Theory

Read: Cox, Michael. 2011. "Applying a Social-Ecological System Framework to the Study of the Taos Valley Irrigation System." Unpublished manuscript.

Janssen, Marco A., John M. Anderies, and Elinor Ostrom. 2007. "Robustness of Social-Ecological Systems to Spatial and Temporal Variability." *Society and Natural Resources*, 20: 307-322.

McGinnis, Michael D. and Elinor Ostrom. 2012. "SES Framework: Initial Changes and Continuing Challenges." *Ostrom Workshop in Political Theory and Policy Analysis Working Paper W11-6*.

Ostrom, Elinor. 2009. "A General Framework for Analyzing Sustainability of Social-Ecological Systems." *Science*, 325: 419-422.

Ostrom, Elinor. 2007. "A Diagnostic Approach for Going Beyond Panaceas." *Proceedings of the National Academy of Science*, 104(39): 15181-15187.

For Further Reading Check Out:

Cox, Michael, Gwen Arnold, and Sergio Villamayor Tomas. 2010. "A Review of Design Principles for Community-Based Natural Resource Management." *Ecology and Society*, 15(4).

Fleischman, Forrest D., et al. 2010. "Disturbance, Response, and Persistence in Self-Organized Forested Communities: Analysis of Robustness and Resilience in Five Communities in Southern Indiana." *Ecology and Society*, 15(4).

Folke, Carl, Thomas Hahn, Per Olsson, and Jon Norberg. 2005. "Adaptive Governance of Social-Ecological Systems." *Annual Review of Environmental Resources*, 30: 441-473.

Ostrom, Elinor. 2010. "Polycentric Systems for Coping with Collective Action and Global Environmental Change." *Global Environmental Change*, 20: 550-557.

Week Twelve – 4/8: Comparing Frameworks

Read: Sabatier, Chapters 10 and 11.

Sobeck, Joanne. 2003. "Comparing Policy Process Frameworks, What Do They Tell Us About Group Membership and Participation for Policy Development?" *Administration & Society*, 35(3): 350-374.

Assignment: Comparison of Frameworks Paper Due

Week Thirteen – 4/15: Applications: Policy Area and Readings TBD

Week Fourteen – 4/22: Applications: Policy Area and Readings TBD

Week Fifteen – 4/29: Applications: Policy Area and Readings TBD

Week Sixteen – 5/3: Applications: Policy Area and Readings TBD

Finals Week – 5/10: Paper Presentations

Academic Integrity:

The University of New Mexico believes that academic honesty is a foundation principle for personal and academic development. All University policies regarding academic honesty apply to this course. Academic dishonesty includes, but is not limited to, cheating or copying, plagiarism (claiming credit for the words or works of another from any type of source such as print, Internet or electronic database, or failing to cite the source), fabricating information or citations, facilitating acts of academic dishonesty by others, having unauthorized possession of examinations, submitting work of another person or work previously used without informing the instructor, or tampering with the academic work of other students. The University's full statement on academic honesty and the consequences for failure to comply is available in the college catalog and in the Pathfinder. It is also the prerogative of the instructor to assign failing grades, either to a particular assignment or for the final course grade, to students who violate academic conduct standards.

Students with Disabilities:

Accessibility Services (Mesa Vista Hall 2021, 277-3506) provides academic support to students who have disabilities. If you think you need alternative accessible formats for undertaking and completing coursework, you should contact this service right away to assure your needs are met in a timely manner. If you need local assistance in contacting Accessibility Services, see the Bachelor and Graduate Programs office.

Library and Tutorial Services:

UNM-Main campus provides many library services and some tutorial services for both on-campus and distance students. For library services, go to <http://www.unm.edu/libraries/> to link to a specific library or to contact a librarian. For tutorial services, go to <http://caps.unm.edu/online> to explore UNM's online services.