

**Public Policy Analysis**  
School of Public Affairs  
Arizona State University

**Fall 2008**

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Class Hours: Tuesdays, 5:40-8:30 pm  
Class Location: Phoenix, UCENT 255  
Class Website: Blackboard (<http://my.asu.edu>)

Instructor: Yushim Kim, Ph.D.  
Email: [ykim@asu.edu](mailto:ykim@asu.edu)  
Office: UCENT, Ste 445 (Phoenix)  
Office hours: Tuesday 3:00 - 5:00 pm, and by appointment.

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### **Course Objectives**

The objective of this course is to introduce you to policy analysis as a systematic way of thinking about public policies. Throughout the course, you will think about, discuss, and come to understand the crucial components of public policy, as well as analytical approaches to public policy. This will help you to take the first step in becoming a solid policy analyst.

This course is designed to help you develop the skills required to define and critically analyze policy issues and problems, articulate relevant decision making criteria for policy analysis, and evaluate alternative policy options. You are expected to learn: (1) what frameworks are available for policy analysis, (2) how a particular framework is relevant in a given context, and (3) the strengths and weaknesses of each framework. These frameworks, skills, and techniques will be applied to a wide range of substantive public policy issues.

### **Course Format**

The general format of this course includes reviews of previous class material, short weekly lectures, and student case analysis presentations. Prior to each class, students are expected to read the required texts and articles listed in the syllabus. Students are responsible for content included in the readings, even if it is not explicitly reviewed in class. PowerPoint slides will be posted on the class website before each class (when they are ready). Students are expected to participate actively in class discussions. Assignments include case analyses, a policy paper, presentations, and class participation. The assignments are explained in more detail below.

## Readings

### ***Required Readings***

- [TC] Theodoulou, S. Z., & Cahn, M. A. (1995). *Public policy: The essential readings*. Englewood Cliffs, NJ: Prentice Hall.
- [M] Munger, M. C. (2000). *Analyzing policy*. New York: W.W. Norton & Company.
- [On] Check the class website (<http://my.asu.edu>) – PAF505 – Course Documents – Papers

## Grading

### ***Final Grade Determination:***

Please keep in mind that grades are earned through hard work, quality performance on class assignments, and making contributions to the class by actively participating in class discussions. You should be aware of the final grade you may get from your performance. If I find that your progress is unsatisfactory, I will inform you in person or via email in the middle of the semester. No incompletes will be given, with the exception of serious unexpected events that prevent course completion. Your final grade will be based on the following assignments/exams:

1.	Case analyses	50%
2.	Final paper	40%
3.	Participation	10%

A letter grade will be given for each assignment. Substantively, an A indicates excellent, B indicates average, and C indicates below average. For graduate students, grades of C and D lead to failure of the course. If you satisfy the requirements in this syllabus, you will earn a B. To earn above a B, you should present excellence beyond the requirements in this syllabus.

## Class Assignments & Evaluations

### ***1. Case Analyses & Presentation [50%]***

#### ***1.1. Case Analyses [30%]***

Case analyses are one of most important activities in this course, providing an opportunity to understand theoretical discussions in the specific context you choose. The three steps to follow for this assignment are discussed below.

First, you will pick a policy topic that you would like to examine at the beginning of the semester. This topic will be the context of your research. A list of example topics that you can choose is provided below. Note that you will work on this topic for all assignments this semester.

### Example Topics

Health Care Policy – i.e. Medicaid, Medicare, Veterans Health Care Program  
Welfare and Social Security Policy – i.e. Social Security, Food Stamps  
Education Policy – i.e. Higher Education, School Reforms, No Child Left Behind  
Environmental Policy – i.e. Environmental Protection, Natural Resources  
Other – i.e. Immigration, Civil Liberties, Science & Technology

Second, you will write seven case analyses as listed in the course schedule (p. 6). Frame and analyze your case using a concept, model, or framework from the weekly readings. For example, in Week 3, you will read articles on the policy process, so you would analyze your policy topic based on the policy process readings. You should also answer the following questions. Is there any particular concept or model that allows you to understand the policy topic better? If so, how and why?

Third, each case analysis should be less than one page, single-spaced with 12-point font. You will submit the case analysis every Tuesday before noon via the Digital Dropbox. I will inform you via email if I do not receive an analysis by the deadline. This will allow me to read your analysis before class so that I can address issues and questions that arise in your analyses.

I will provide feedback on each case analysis. However, the grade for this assignment will be given after you submit all case analyses. The grade will reflect your overall progress and performance on the overall assignment rather than being based on single case analyses.

### *1.2. Presentation and Discussion [20%]*

You will present or discuss your case analysis in class (once during the semester). Two students will be paired for this assignment. The team will decide who will present and who will discuss. Since everyone is expected to read all class readings, this assignment will provide us with a great context for class discussion. Students who are assigned as the presenter will present their case analysis, whereas students who are assigned as the discussant will ask questions, provide feedback, and lead the discussion. We will select teams on the first day of class.

This assignment will help you in two different ways. First, it will allow you to read and explain important concepts in public policy in your own words. Second, it will provide an opportunity to practice for the presentation of your policy paper. I will evaluate the following aspects of your presentation: (1) whether the presentation is well prepared regarding content, format, and style; and (2) whether you engage other students, raise questions, and present the content with substantial knowledge. The presentations will be scheduled on the first day of class. You are expected to share your Powerpoint slides with your discussant before class.

At a minimum, you should present: (1) key points of the reading; (2) your analysis using the concepts and framework in the reading; and (3) what you have learned from the case analysis. You and your discussant will have approximately 1 hour. The presentation and discussion should be no more than 40 minutes. Other students will have an opportunity to discuss your presentation afterwards.

## **2. Final Paper & Memo [40%] – Defining a Policy Problem**

### *2.1. Policy Paper*

Imagine that you are a policy analyst in an organization (i.e. county agency, state government, or political institute). Writing a good report is one of the most important skills you need to be successful in such a position. There are several different styles of writing (i.e. professional report, policy memo, academic paper). In this class, you will write a policy paper, focusing on problem definition for a policy topic. My questions for this assignment are: (1) what is a problem within the policy topic you choose?; (2) why is it a problem?; (3) what is a major policy or program that the U.S. has established to address the problem?; (4) is the policy or program appropriate to address the problem you defined?; and (5) why or why not?

I will read and provide comments on the first draft of your paper (optional) if it is submitted by November 4, 2008. I encourage all of you to take advantage of the opportunity to have me read your draft. The sooner you turn in a draft, the more likely it is that I will be able to review it. I will consider both your improvement and effort in grading the final paper. I will also be available for assistance in writing the policy paper. Please plan to meet with me at least once during the semester to discuss your paper. It is your responsibility to schedule this meeting. I look forward to working with each of you.

The policy paper should be single-spaced, 12-point font, and no more than a total of 3,000 words (excluding references, tables, and figures). A cover sheet should be included with your name, title, course number, date, and word count. Do not include your name on any other page. There should be a minimum of 10 references in the paper. Your references should include government documents, peer-reviewed articles, and books. A maximum of 3 web articles will be counted as references. All in-text citations and references should follow APA citation format.

The policy paper will be submitted by *December 11, 2008, 9:30 pm* via the Digital Dropbox, in person (UCENT 439), in my mailbox, via fax (602.496.0950), or via email (ykim@asu.edu). The paper will be graded on the following components: Content, Clarity, Comprehensiveness, Creativity, and Evidence.

### *2.2. Policy Memo*

You will practice writing a short and concise policy memo, which is a common communication medium in public agencies. As a policy analyst, you will be in situations where you have to write a memo for policy makers or stakeholders. The policy memo should include key information you want to communicate to them. Guidance on writing the policy memo from Dunn (2004) is provided on the class website.

Use your policy paper to write the policy memo. You should be able to touch on and highlight key points in the paper and write a short memo directed at relevant decision makers or stakeholders. The memo should be single-spaced with 12-point font. Follow the memo format in Bardach (2005, p.59), which will be posted on the class website. You will submit the memo with your final copy of the policy analysis paper by 9:30 pm on December 11, 2008.

### *2.3. Presentation*

At the end of the semester, you will present your policy paper in class. Each student should prepare for approximately 15 minutes of presentation and 5 minutes for questions. You may prepare PowerPoint slides, keeping in mind that it will take approximately 2 minutes to present each slide. Please limit your slide to no more than 10 slides. We will schedule the presentations in class on November 18, 2008.

### **3. Participation [10%]**

You will be expected to complete all required reading assignments prior to each class meeting. Your attendance, participation in class discussions, completion of class assignments, and discussions with me via e-mail or during office hours will influence your participation grade. I value a good attitude, passion, and process in the learning environment. I will consider these aspects in all assignments. If you wish to have clarification of anything that you read or hear in class but do not wish to ask a question in class, send me an email and I will respond to it in the following class session.

I am fully aware that speaking among a group of strangers is often an anxiety-producing experience. However, each student will be asked to contribute to the learning process through discussion. No one will be allowed the luxury of passive anonymity. I want to assure you, therefore, that your thoughts and opinions will always be treated with respect.

I also understand that some of you might be out of town throughout the semester. Your absences due to your job or personal matters will not influence your grade assignments other than the participation component. If you miss class more than three times this semester, the best participation grade you will earn is a B.

Finally, I would like to meet with each student for about 20 minutes during office hours at the beginning of the semester. This meeting serves two functions: (1) to get to know you better, and (2) to discuss your interest in public policy. We will discuss what policy topic you are interested in and how you will develop the final paper. Please sign up for a date and time on the list that I will provide the first day of class.

### Schedule of Topics and Assignments: Fall 2008

Week	Date	Topic	Assignment
1	8/26	<b>Introduction</b> <ul style="list-style-type: none"> <li>• Syllabus</li> <li>• Policy science</li> </ul>	Submit class survey Schedule case analysis presentation
2	9/2	<b>Public Policy - Nature</b> <ul style="list-style-type: none"> <li>• What is public policy?</li> </ul>	
3	9/9	<b>Public Policy - Process</b> <ul style="list-style-type: none"> <li>• Policy process</li> <li>• Agenda-setting</li> </ul>	<i>Due for a case analysis (1)</i>
4	9/16	<b>Public Policy - The Players</b> <ul style="list-style-type: none"> <li>• Institutional and noninstitutional actors</li> </ul>	<i>Due for a case analysis (2)</i>
5	9/23	<b>PAF504 Review</b> <ul style="list-style-type: none"> <li>• Market, expert, and democratic decisions</li> </ul>	<i>Due for a case analysis (3)</i>
6	9/30	<b>Policy Analysts</b> <ul style="list-style-type: none"> <li>• Role, ethic, &amp; value</li> <li>• Argument or craft</li> </ul>	<i>Due for a case analysis (4)</i>
7	10/7	<b>Ex Ante: Problem Definition</b> <ul style="list-style-type: none"> <li>• Structuring problems</li> <li>• Stakeholder analysis</li> </ul>	<i>Due for a case analysis (5)</i>
8	10/14	<b>Ex Ante: Selection of Criteria</b> <ul style="list-style-type: none"> <li>• Decision criteria</li> <li>• Trade-offs</li> </ul>	<i>Due for a case analysis (6)</i>
9	10/21	<b>Ex Ante: Comparison of Alternatives</b> <ul style="list-style-type: none"> <li>• Cost-benefit analysis</li> <li>• Discounting</li> </ul>	<i>Due for a case analysis (7)</i>
10	10/28	<i>Practice of Public Policy Analysis</i> <ul style="list-style-type: none"> <li>• Deliberative decision-making using the Decision Theater</li> </ul>	Watching a video
11	11/4	<b>Ex Post: Formative Evaluation</b> <ul style="list-style-type: none"> <li>• Implementation</li> <li>• Performance monitoring</li> </ul>	<i>Draft of policy paper due (optional)</i>
12	11/11	Veterans Day Observed	No Class
13	11/18	<b>Ex Post: Summative Evaluation</b> <ul style="list-style-type: none"> <li>• Evaluation</li> <li>• Impact/outcome evaluation</li> </ul>	Schedule paper presentation
14	11/25	<b>Wrapping up</b> <ul style="list-style-type: none"> <li>• Evolution</li> </ul>	
15	12/2	<b>Student Presentation (I)</b>	
16	12/9	<b>Student Presentation (II)</b>	

## Reading Assignments

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### **Week 1 (8/26): Introduction**

- [On] Syllabus
  - [On] McSwite, O. C. (2001). Theory Competency for MPA-Educated Practitioners. *Public Administration Review*, 61(1), 111-115.
  - [On] Lasswell, H. D. (1951). "The Policy Orientation." In D. Lerner & H. D. Lasswell. *The policy sciences: Recent developments in scope and methods*. Stanford: Stanford University Press, pp. 3-15.
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### **Week 2 (9/2): Public Policy - Nature**

- [TC] Chapter 1: The Contemporary Language of Public Policy: A Starting Point
  - [TC] Chapter 3: Distribution, Regulation, Redistribution: The Functions of Government
  - [TC] Chapter 5: The Analysis of Public Policy
  - [TC] Chapter 9: Group Politics and Representative Democracy
  - [TC] Chapter 10: The Power Elite
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### **Week 3 (9/9): Public Policy - Process**

- [On] Gupta, D. K. (2001). Chapter 3: The Policy Process. *Analyzing public policy: Concepts, tools, and techniques*, pp. 46-69.
  - [TC] Chapter 11: How Public Policy Is Made
  - [TC] Chapter 12: Issues and Agendas
  - [TC] Chapter 13: Agenda-Setting
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### **Week 4 (9/16) : Public Policy - The Players**

- [TC] Chapter 22: The Players: Institutional and Noninstitutional Actors in the Policy Process
  - [TC] Chapter 24: Congress: The Electoral Connection
  - [TC] Chapter 25: The Presidential Policy Stream
  - [TC] Chapter 27: The Rise of the Bureaucratic State
  - [TC] Chapter 32: News That Matters
  - [TC] Chapter 34: Parties, the Government, and the Policy Process
  - [TC] Chapter 35: The Advocacy Explosion
  - [TC] Chapter 36: The Consultant Corps
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### **Week 5 (9/23): PAF 504 Review - Rationales for Public Policy**

- [M] Chapter 2: Deciding How to Decide, pp. 30-53.
- [M] Chapter 3: A Benchmark for Performance: The Market, pp. 54-88.
- [M] Chapter 4: "Evaluation and Market Failure": Criteria for Intervention, pp. 101-130.
- [M] Chapter 5: "Experts and "Advocacy": The Limits of Policy Analysis, pp. 134-161.
- [M] Chapter 6: Democratic Decisions and "Government Failure": The Limits of Choice by the People,

pp. 162-199.

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**Week 6 (9/30): Policy Analysts – Role, Ethic, and Value**

- [M] Chapter 1: Policy Analysis as a Profession and a Process: An Overview, pp. 3-29.
  - [On] Weimer, D., & Vining, A. (2005). Chapter 3: Toward Professional Ethics, pp. 39-53.
  - [On] Majone, G. (1989). Chapter 2: Analysis as Argument, pp. 21-41
  - [On] Majone, G. (1989). Chapter 3: Analysis as Craft, pp. 42-68.
  - [On] Schwindt, R., Vining, A., & Weimer, D. (2003). A Policy Analysis of the BC Salmon Fishery, *Canadian Public Policy*, 29(1), 73-94 (CASE)
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**Week 7 (10/7): Ex Ante - Problem Definition**

- [On] Rittel, H. W. J., & Webber, M. M. (1973). Dilemmas in a general theory of planning. *Policy Sciences*, 4(2), 155-169.
  - [On] Dunn, W. N. (2004). Chapter 3: Structuring Policy Problems. *Public Policy Analysis*. Upper Saddle River, NJ: Prentice Hall. pp. 96-120.
  - [On] Rosenhead, J., & Mingers, J. (2001). Chapter 1: A New Paradigm of Analysis. pp. 1-20.
  - [On] Coughlin, J. F. (1994). Chapter 7: The tragedy of the concrete commons: Defining traffic congestion as a public problem. In D. A. Rochefort & R. W. Cobb. (Eds.). *The politics of problem definition: Shaping the policy agenda* (pp. 138-158). Lawrence, Kansas: University Press of Kansas (CASE)
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**Week 8 (10/14): Ex Ante - Selection of Criteria**

- [On] Kraft, M. E., & Furlong, S. R. (2007). Chapter 6: Assessing Policy Alternatives. *Public Policy*. Washington, D.C.: CQ Press, pp. 147-157.
  - [On] Stone, D. (2002). Chapter 2: Equity, *Policy paradox*. pp. 35-60.
  - [On] Stone, D. (2002). Chapter 3: Efficiency, *Policy paradox*. pp. 61-85.
  - [On] Stone, D. (2002). Chapter 4: Security, *Policy paradox*. pp. 86-107.
  - [On] Stone, D. (2002). Chapter 5: Liberty, *Policy paradox*. pp. 108-130.
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**Week 9 (10/21): Ex Ante - Comparison of Alternatives – C/B Analysis**

- [On] Gupta, D. K. (2001). Chapter 14: Choosing the Best Alternative: Cost-benefit Analysis. pp. 357-383.
  - [On] Gramlich, E. M. (1981). *Benefit-cost analysis of government programs*. Englewood cliffs, NJ: Prentice-Hall, Inc., pp. 41-52.
  - [On] Weimer, D., & Vining, A. (2005). Chapter 17: Benefit-Cost Analysis in a Bureaucratic Setting: The Strategic Petroleum Reserve, pp. 426-451. (CASE)
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**Week 10 (10/28): Practice of Policy Analysis (Ex Ante)**

- [On] Innes, J. E., & Booher, D. E. (2003). Chapter 1: Collaborative Policymaking: Governance through Dialogue. In M. A. Hajer & H. Wagenaar (eds.). *Deliberative policy analysis*. Cambridge, UK:

Cambridge University Press., pp. 33-59.

We will watch videos from the Decision Theater project. - Collective decision-making

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**Week 11 (11/4):**            *Ex Post* – Formative Evaluation

- [TC] Chapter 14: The Science of “Muddling Through”
  - [TC] Chapter 16: Implementation Game
  - [TC] Chapter 17: Implementation as Evolution
  - [On] O’Toole, L. J. (2000). Research on Policy Implementation: Assessment and Prospects. *Journal of Public Administration Research and Theory*, 10(2), 263-288.
  - [On] Kim, Y. (2007). Using spatial analysis for monitoring fraud in a public delivery program. *Social Science Computer Review*, 25(3), 287-301. **(CASE)**
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**Week 12 (11/11):**        **Veterans Day Observed**

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**Week 13 (11/18):**        *Ex Post* – Summative Evaluation

- [On] Constas, M. A. (2007). Reshaping the methodological identity of education research: Early signs of the impact of federal policy. *Evaluation Review*, 31(4), 391-400. **(CASE)**
  - [On] Rossie, P., Freeman, H.E., & Lipsey, M. W. (1999). Chapter I: Programs, Policies, and Evaluations. pp. 3-35
  - [TC] Chapter 19: The Role of Evaluation in the Public Policy
  - [On] Fischer, F. (1995). Public Policy Analysis as Practical Deliberation: Integrating Empirical and Normative Evaluation. pp. 1-24
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**Week 14 (11/25):**        **Wrapping Up**

- [On] Desai, A. (forthcoming). Teaching quantitative and analytic methods. *Journal of Policy Analysis and Management*.
  - [TC] Chapter 20: Trends in Policy Analysis
  - [On] Rosenbloom, D. H. (2002). The evolution of policy analysis. *Public Administration Review*, 62(4), 504-505.
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**Week 15 (12/2):**        **Student Presentation (I)**

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**Week 16 (12/9):**        **Student Presentation (II)**

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## Other

### *Late Assignments*

I expect you to turn in all assignments on time. Assignments not turned in on time will be marked down *by 3 points for each day they are late*. You are welcome to turn papers in early if you expect to be absent on the due date. You should plan your schedules accordingly.

### *Grade Appeal Policy*

I take the evaluation and grading of your exams very seriously. I read each paper and exam several times before assigning a grade to it. In arriving at a grade for a particular project, I first assess whether it meets the basic criteria defined in the guidelines attached. I then compare your essay to the essays which I believe represent excellence, both in content and presentation of that content. I am happy to provide you with a copy of these essays on the class website.

If you think that you deserve a higher grade on a paper or exam, you may write a letter and explain why you would like to appeal the grade. Before making an appeal, you should re-read your paper with my comments in mind. After I receive your letter, I will re-read your paper/exam within 1-2 class periods. Depending on my re-reading, your grade may stay the same, be raised, or be lowered. This system is designed to minimize frivolous grade appeals and to ensure that you have carefully examined and reflected on the quality of your work before deciding to initiate a grade appeal.

### *Academic Integrity*

Both the university and I take issues related to academic integrity very seriously. If you have any questions about how to cite someone else's work, please ask. I will briefly provide a session on APA writing style. Though it may be acceptable to cut and paste without attribution into documents or reports, the academic community has a different set of standards in this regard. If I find that a student has plagiarized on an assignment, the possible consequences are: failure on the assignment; failure in the course; course failure with a mark of academic dishonesty, which can not be removed from the transcript; or dismissal from the graduate program. If you fail a class assignment, you can restore some points by working harder in other assignments. However, *once you violate the academic conduct guidelines, there is no way that you can reverse the damage*. Please be alert to the academic integrity guidelines.

## Notes

1. You will be asked to participate in group projects and discussions. You won't get any formal credits for the projects. However, your participation will influence my decision on your participation grade.
2. Please turn off your cell phone before the class starts.
3. No laptop in the class
4. No email response from the instructor during the weekend.
5. It is your responsibility to check information on the class website.
6. The syllabus is subject to change by the instructor.

## Resources

### Big Picture

Parsons, W. (1995). *Public policy*. Cheltenham, UK: Edward Elgar. (for Ph.D. students)

Wildavsky, A. (1987). *Speaking truth to power*. New Brunswick, NJ: Transaction Publishers

### Policy Process

Kingdon, J. W. (2003). *Agendas, alternatives, and public policies* (2<sup>nd</sup> ed.). New York: Longman.

Pressman, J. L., & Wildavsky, A. (1984). *Implementation* (3<sup>rd</sup> ed.). Berkeley: University of California Press.

Fischer, F. (1995). *Evaluating public policy*. Chicago: Nelson-Hall Publishers.

Sabatier, P. A. (2007). *Theories of the policy process*. Boulder, CO: Westview Press.

Wright, D. S. (1988). *Understanding intergovernmental relations*. Pacific Grove, CA: Brooks/Cole Pub. Co.

### Policy Analysis

Stokey, E., & Zeckhauser, R. (1978). *A primer for policy analysis*. New York: W.W. Norton & Company, Inc.

Rosenhead, J. & Mingers, J. (2001). *Rational analysis for a problematic world revisited* (Rev. ed.). Chichester, UK: John Wiley & Sons, LTD.

Stone, D. (2002). *Policy paradox: The art of political decision making* (Rev. ed.). New York: W.W. Norton & Company, Inc.

Weimer, D., & Vining, A. (2005). *Policy analysis: Concepts and practices* (4<sup>th</sup> ed.). Upper Saddle River, NJ: Prentice Hall.

Majone, G. (1989). *Evidence, argument, & persuasion in the policy process*. New Haven: Yale University Press.

Rossie, P., Freeman, H.E., & Lipsey, M. W. (1999). *Evaluation* (6<sup>th</sup> Ed.). Thousand Oaks, CA: Sage Publication, Inc., pp. 3-35.

Hajer, M. A., & Wagenaar, H. (2003). *Deliberative policy analysis*. Cambridge, UK: Cambridge University Press

CQ Researcher. (2008). *Issues for debate in American public policy*. Washington, D.C.: CQ Press.

### Online

How a bill becomes law [Video] <http://youtube.com/watch?v=mEJL2Uuv-oQ>

Marvel, M. (2006). How a Bill becomes Law. OSU Library Website.

<http://library.osu.edu/sites/reference/govdocs/legthis.htm>

Marvel, M. (2006). Analysis of a Federal Government Program. OSU Library Website.

<http://library.osu.edu/sites/reference/govdocs/ppm801~1.htm>