

## PA 5405 Public Policy Implementation

FALL 2018

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This course examines the implementation of public policy and programs. Implementation is an integral, dynamic and often unpredictable component of the policy-making and systems change process. Policies are not only created by elected officials, who authorize and fund government activities, but also by state administrators, local managers, front-line staff, and citizens who interpret and interact with them.

Because of this complexity, this course introduces you to a multi-level implementation analysis. This analysis focuses on understanding how the core policy or program is understood at the policy field, organizational, and frontline levels. It also provides ways to better understand how a social process that involves power and culture often significantly shapes implementation processes and tasks. This is because public policy and program implementation occurs in a complex system, which introduces unexpected detours and creates outcomes unanticipated by policy makers.

Because implementation is inherently a social process, it requires skillful actors who can analyze situations *and* work effectively with others to direct resources, manage competing demands, and move toward desired outcomes. As such, students need to cultivate their abilities to be analytical, reflective and adaptive. This course is designed to help graduate students develop such skills.

Together, we will be using cases of public policy implementation to ground our learning: food support offered to low-income children and families, and separation of parents-children at the Mexican / U.S. border. These cases will help illustrate how to carry out policy implementation analysis and provide motivation for you in the individual field-based research project that is the cornerstone of your learning in this class.

In this course, we will work together to achieve these learning outcomes:

- Understand operations of a multi-level policy implementation system by apply appropriate theoretical and conceptual models. We will focus on three differentiated levels:
  - **Policy fields** shaped by policy design, government tools, available institutions, and networks.
  - **Organizations**, both authorizing agencies and service providing agencies shaped by program mandates and funding, cultural interpretations, and existing programs.
  - **Frontline** realities shaped by workloads, staff personal attributes and skills, and interactions with citizens.
- Conduct multi-level policy implementation analyses through field-based inquiry;

- Explore how authority can be used by implementers with social skill to improve implementation results that deliver public value;
- Communicate effectively virtually and face-to-face to build skills for working with professionals who have distinct vantage points about implementation processes and outcomes.

### Means of Learning & Communicating With Each Other

To accomplish these outcomes, we will draw upon various learning materials: conceptual and theoretical readings; multi-media case analysis; in-depth field research; and small learning groups to support your research.

The Fall 2018 offering is offered in a hybrid format that leverages both face-to-face and online course elements, using an array of technological tools to learn together even when we are not physically present with each other. We will have eight face-to-face meetings over the course of the semester, each 3 hours each. In addition, you will meet face-to-face or virtually with a small learning group during weeks we are not meeting as a whole class. Additionally, you will spend considerable time doing research and implementation analysis on a policy or program of your selection. Like all graduate courses, you should plan to spend about 15 -20 hours per week on course related activities and assignments.

We will utilize an array of technologies: face-to-face class sessions, small learning groups, tools from the U of M Google suite, and Canvas (course management system). Current practice and research suggests students are successful in these types of technology-enriched classes when they are:

- Open minded about sharing work, life, and educational experiences as part of the learning process;
- Able to communicate through writing;
- Willing to communicate with instructors if problems arise;
- Accept critical thinking and decision making as part of the learning process;
- Able to think ideas through before responding;
- Self-motivated and self-disciplined;
- Able to establish and maintain boundaries with on-line media (and manage your own expectations of you or me always being 'wired').

Success in the course is dependent on you mastering course content while simultaneously dealing with all of life's other responsibilities.

Canvas is better accessed through.... **ADD BROWSER DETAIL**. Although this is a course that leverages technology, this does not mean that communication with me should be more limited. ***If you have questions, concerns, recommendations, or emerging ideas about the course, let me know!*** The sooner the better. And I welcome face-to-face or virtual video conversations about the course. You also can communicate with me through our Moodle site, via phone, email, or in person before or after class. To make an appointment during my set office hours (Friday 12:-- to 2:00) follow the link to my calendar on the course web-page. If you would like to meet another time, please send me an email directly to set something up.

Throughout the semester, you will work with a *small learning group* to deepen your multi-level implementation analysis and help you stay on track. I will establish those groups for our first face-to-face meeting on September 5<sup>th</sup>.

## COURSE REQUIREMENTS

Students in this class will need to fulfill the following requirements (all assignments due by noon on the date noted). Assignments submitted after the due date will be penalize 5 points for each 24-hour period that they are late:

- 1) Complete all the *reading* and review *module introduction videos, video briefs*, and faculty-created *audio-enhanced power points*. In this ‘flipped classroom’ it is important that you keep up with these lectures and other content-rich materials. There are brief, informal writing assignments to help assure you stay on track and allow you to share your insights and questions with other students and Professor Sandfort during the times we are not meeting face-to-face. Five are sprinkled throughout the semester. And there is an informal Personal Leadership Reflection at the end of the semester.
- 2) Complete an individual *Multilevel implementation analysis brief* about a policy or program of your choosing. Submit 2-page project statement (due on 9/21) and draft analysis (as explained in the assignment) with worksheets in class on October 3<sup>rd</sup>, 17<sup>th</sup>, and 31<sup>st</sup>. These interim drafts will enable Professor Sandfort and your small learning group to provide necessary support to the research process. The full brief is due on November 12<sup>th</sup> and you will verbally present your analysis to date to a small group (not familiar with your work) in class on November 14<sup>th</sup>.
- 3) *Contextual Analysis and Change Report*. The last month of the semester will allow you to go deeper in two or three sites within the implementation system to better understand authority, culture, and leadership for improving results in these settings. The last month of the semester will focus on this research into improving implementation systems. The final paper is due on December 17<sup>th</sup>.
- 4) In-class *presentations to the full class*. A final presentation of your contextual analysis and change report will be given during the 12/14 class.

## GRADING DISTRIBUTION & CRITERIA OF EVALUATION

A student’s grade in the course will be determined using the following weights and criteria:

### **Participation**

**5%**

In a hybrid course, participation involves engaging with course materials, asking questions (virtually in forums and face-to-face), preparing for classroom discussions (including

preparation of case materials) and engaging in your small learning group (including providing feedback on their draft analysis). It also involves being organized to conduct field-based research and asking for assistance when you encounter challenges. Members of small groups will be asked to evaluate each other's engagement and participation in their learning experience mid- semester, which will be taken into account for the calculation of this portion of the course grade.

**Virtual Analysis of Materials & Personal Learning 15%**

Virtual lectures and readings will communicate the core course concepts. Mastery of this material is important for it will influence your success at analyzing your field-based research topic (described below). In addition, effective, implementation practice requires that you are skilled at assessing your experiences and making strategies for action.

Throughout the semester, you will be asked to do individual posts to your small learning group (5 throughout the semester). Additionally, you will be asked to complete a brief (2 page) Personal Leadership Reflection about your learning at the end of the semester. These course elements are assessed by their completion and depth of analysis expressed.

**Multilevel Field-based Analysis**

***Project Statement & Drafts of analysis* 10%**

To shape your field-based research, we begin with a clear statement of the policy and program to be explored. You will suggest an idea in the first week of the course and, after receiving some initial feedback, write it up to share with Professor Sandfort and your small learning group. Consider how you will design the investigation into field conditions at the various levels of analysis.

You will turn in drafts of your analysis at various levels. Your small learning group and Professor Sandfort will provide feedback that you can draw upon to hone your Multilevel Implementation Analysis Brief.

***Multilevel Implementation Analysis Brief* 35%**

This 8single-spaced assignment will tie together all of the research you complete from the initial research about the policy field, organizational analysis (both authoring and service agency), and frontline conditions. The Brief will be assessed on a 100 point-scale according to these criteria: completeness of research; application of concepts from course materials, identification of key implementation issues; professionalism (free of spelling and grammatical errors, visual appeal, consistent citation method, etc).

***Presentations* 10%**

Mid-semester, you will make a presentation to the class about your multilevel research; your colleagues and professor will assess your effectiveness in communicating your analysis. At the end of the term, you will also make a brief presentation to that same small group with your ideas for improving policy implementation effectiveness.

***Contextual Analysis and Change Report* 25%**

This final assignment builds off (and can reference) the Multilevel implementation Analysis Brief. This 5 -7 single-spaced page report analyzes the social system of implementation found at (at least) one site in the system and makes concrete recommendations for changes that

could improve desired results. The Report will be assessed according to the following components: appropriateness of implementation analysis; thoroughness of research methodology; relevance of recommendations; use of course material; organization and professionalism (free of spelling, typographical, and grammatical errors, consistent citation method, etc).

**Plagiarism and other forms of academic dishonesty will result in a grade of “F” for the course. Students are expected to be familiar with what constitutes plagiarism. If students are uncertain, please consult the instructor or University of Minnesota policies.**

## FULL CITATIONS TO READINGS & OTHER LEARNING OBJECTS

Throughout, we will be using my book co-authored with Stephanie Moulton, *Effective Implementation in Practice: Integrating Public Policy and Management* (Jossey-Bass Publishing, 2015). We will supplement this material with other readings and multi-media learning objects. All concepts will be applied to your field-based research.

### *Surveying the Landscape*

Hubert Video Brief: Multi-level Implementation Analysis

Francis Fukuyama (January 2012). “Why Public Administration Gets No Respect But Should.”

The American Interest. Retrieved from <https://www.the-american-interest.com/2012/01/01/why-public-administration-gets-no-respect-but-should/>

Trish Greenhalgh, Glenn Robert, Fraster MacFarlane, Paul Bate, and Olivia Kyriakidou (2004). “Diffusion of Innovation in Service Organizations: Systematic Review and Recommendations,” *Milbank Quarterly*. 82(4): 581-629.

Susan Evans and Peter Clarke (2011). “Disseminating Orphan Innovations,” *Stanford Social Innovation Review*. Winter: 42-47.

Hubert e-case: The Emergency Food Assistance Programs

### *Introduction to Multi-Level Analysis*

#### Policy Fields

Hubert Video Brief: Policy Field Analysis

Heather C. Hill (2003). “Understanding Implementation: Street-Level Bureaucrats Resources for Reform.” *Journal of Public Administration Research and Theory*. 13(3): 265-282.

Lawrence O’Toole (2003). “Interorganizational Relations in Implementation.” *Handbook of Public Administration*. Sage Publications, pg. 234-245.

Chris Huxham and Siv Vaugen. (2000). “Ambiguity, Complexity, and Dynamics In The Membership Of Collaboration.” *Human Relations*, 53(6): 771-806.

Steven Rathgeb Smith (2010). “Nonprofits and Public Administration: Reconciling Performance Management and Citizen Engagement.” *The American Review of Public Administration*. 40(2), 129-152

#### Organizations as Implementation Sites

Gwyn Bevan and Christopher Hood (2006). "What's Measured is What Matters: Targets and Gaming in the English Public Health Care System." *Public Administration* 84:3, 517-538.

Nabatchi, Tina, Alessandro Sancino, Mariafrancesca Scicilia (2017). "Varieties of Participation in Public Services: the Who, When, and What of Coproduction," *Public Administration Review*. I-II.

Gregory Aarons, Charles Glisson, Phillip Green, et al (2012). "The Organizational Social Context of Mental Health Services and Clinician Attitudes toward Evidence-Based Practice: A United States National Study," *Implementation Science* 7.

Kilminster, SM and BC Jolly (2000). "Effective Supervision in Clinical Practice Settings: A Literature Review," *Medical Education* 34(8): 827-840.

Hubert e-Study: Reliability and Autonomy in Nonprofit Revenue

### Frontline Interactions

Sandfort & Moulton, Chapter 6, Appendix 5 & 6

Steven Maynard-Moody and Michael Musheno (2000). "State Agent or Citizen Agent: Two Narratives of Discretion," *Journal of Public Administration, Research and Theory* 10(2): 329-358.

Marcia Meyers and Vibeke Nielsen (2012). "Street-Level Bureaucrats and the Implementation of Public Policy," *The SAGE Handbook of Public Administration*. London.

R. Kent Weaver (2009). "Target Compliance: The Final Frontier of Policy Implementation," *Governance Studies*, I-II.

Bernardo Zacka (2017). "Why Bureaucrats Don't Seem to Care," *The Atlantic* (October 12). <https://www.theatlantic.com/business/archive/2017/10/bureaucrat-welfare-zacka/542547/>

### ***Changing Implementation Systems***

Hubert Video Brief: Backwards Mapping

### Delving into Social Dynamics

Neil Fligstein (2008). "Fields, Power and Social Skill: A Critical Analysis of the New Institutionalism," *International Public Management Review* 9(1): 227-253.

Richard Thaler & Cass Sustein (2009), "Following the Herd," and "When do we need a Nudge," *Nudge: Improving Decisions about health, Wealth and Happiness*. Penguin Books.

Richard Elmore (1979-80), "Backwards Mapping: Implementation Research and Policy Decisions," *Political Science Quarterly* 94:4, pg. 601-616. (Optional)

Keith Lawrence, Andrea A. Anderson, Gretchen Susi, Stacey Sutton, Anne C. Kubisch, Raymond Codrington (2009). *Constructing a Racial Equity Theory of Change: A Practical Guide for Designing Strategies to Close Chronic Racial Outcome Gaps*, Aspen Institute.

David Snowden and Mary E. Boone (2007), A Leader's Framework for Decision Making, *Harvard Business Review*. November. 69-76.

Jodi Sandfort (2018). "Theoretical foundations and design principles to improve policy and program implementation," *Handbook of American Public Administration*, edited by Edmuch Stazky and H. George Frederickson. Elgar Publishing.

### Leading Improvements

Karen Blasé, Dean Fixsen, Barbara Sims and Caryn Ward (2015). "Implementation Science: Changing Hearts, Minds, Behavior, and Systems to Improve Educational Outcomes," National Implementation Research Network.