Implementation is management. It is managing policies and programs that are brand new, those that are being modified, and those that are replacing existing programs. Policy often comes to managers in clear, direct, and measurable forms. But it can also come with conflicting mandates, ambiguous directives, and measures that are not well defined or all that observable. There are many actors and institutions that shape the formulation, funding and regulation of policies and programs. These actors and institutions also have a significant desire and interest in shaping the implementation of policy, through influencing the environment in which it takes place and the tools that are to be used.

There are a number of tools, direct and indirect, that government has at its disposal in the implementation of policies and programs, including vouchers, regulations, and contracts. As managers in government organizations, nonprofits, and private consulting firms, you will implement policies and programs using a range of different tools. This will require you to think not only about the technical and analytical components of those tools, but also about the contextual and human dynamics of implementation. These dynamics are embedded in organizational structures and networks and influenced by rules, routines, processes, strategies, incentives, and oversight mechanisms.

Increasingly, intergovernmental and intersectoral networks of service delivery are necessary for the implementation of policy. At times, such delivery systems are already in place or require only minor modification. In other cases, policy implementers need to develop, refine, and institutionalize such networks, systems, and processes to facilitate the production, delivery, and evaluation of services to intended beneficiaries. These structures are shaped by policy systems and the relationships within them.

We will focus on a broad representation of policy areas including social policy (education, health, employment and training, etc.), environmental policy, security policy, etc. Perhaps more
than any other learning objective for the course, we will focus not only on ‘implementation’ but will work to think about and understand the changing face of public sector governance, and the environment and tools in which you’ll have responsibility for implementing publicly funded programs. Understanding how tool selection and implementation varies by policy area, context, and partners will serve as a foundation for your own public service work.

The course objectives are:

- Familiarize students with the theoretical and conceptual models used to understand the policy implementation process.
- Examine implementation frameworks, the myriad actors and institutions that seek to influence the implementation of policy, tools for implementing policy, and more generally make students aware of just how complex and difficult managing implementation can be.
- Develop the analytical, reflective, and adaptive skills which managers, policy analysts, and advocates need to strengthen if they are to be successful in implementing policy.

**Required Text:**

**Required Book:**

**Additional Course Materials:**
All other course materials are available on blackboard.

**Grading and Course Requirements:**

- Case Study Memo Assignment Due 2/11 15%
- Voucher Elevator Speech Due 2/25 10%
- Contracting Memo Due 4/1 20%
- Final Group Project Presentation Due 4/15 & 4/22 15%
- Final Group Project DUE 4/29 before 5:00pm 40%
- Participation is expected Every Week.

The grading scale is as follows:

- A = 95-100
- A- = 90-94
- B+ = 87-89
- B = 84-86
- B- = 80-83
- C+ = 77-79
- C = 74-76
- C- = 70-73
- D = 65-69
- F ≤ 64

**I use the midpoints for the actual computation of your final grade.**

**Each week that a case study is assigned you should read the case and use the same guidelines provided below in the case study assignment section to prepare for our class discussion of the case material. Specifically, think about the case study you are reading in the**
context of the topic and readings for the week. As always, use the topics we discuss and your knowledge from other courses and experience to inform your thinking on the case and participation in the case discussion.

We will have five speakers join us over SKYPE as case study discussants, four of them MPA alumni. Please come prepared to engage these speakers, ask them relevant questions that reflect your preparation and learning, past experience, concerns, etc. Show these guests the real caliber of Maxwell graduate students. A short biography for each speaker will be sent one week in advance of the speaker participating in the class so that you can have a richer understanding of their background and be prepared to ask insightful and challenging questions.

** All assignments must be turned in on time. Students should make every effort to plan ahead. If a student has to miss class because of a medical emergency please notify the instructor as soon as possible. Students are responsible for keeping up with the class requirements, turning assignments in on time, etc. Late assignments will be marked down one-half letter grade for each day the assignment is late (i.e., one day late and your assignment goes from an A- to a B+).

** The optional readings are exactly that, optional. I have provided a series of optional readings for those of you who may desire a greater level of depth by individual topic area. I do not expect you to read all the optional readings noted for each week. I do expect you to read the required materials for each week.

**Policy Implementation in the News:**

Every week we will discuss examples of policy implementation in the news. I’ve included several relevant examples for each topic. These are only examples that contextualize the topic for the week. But, in your own daily reading of the news (New York Times, Wall Street Journal, Washington Post, Economist, etc.) you will undoubtedly come across stories that reflect some dimension of what we’re studying and discussing in this class. Identify one of those pieces and share it. Share it on the BlackBoard site or in class. This is an opportunity to integrate readings, lectures, and case studies with what we see and read about every day.

**Case Study Assignment:**

You are required to read all the materials and respond to the case study assignment (which will be distributed in class the week before the assignment is due) as though you are a manager requested to provide guidance, feedback, and recommendations to the main actor in the case study (unless otherwise noted in the assignment instructions). Your response should be in the format of a 1-page management memo (single spaced, 12 point font, 1 inch margins). You are not to reiterate what is in the case. The examples and recommendation you offer must be specific. It is more important to fully develop your recommendation than to present a bulleted list of 12 options. Offering multiple recommendations is both risky and reduces the saliency of what you’re suggesting because you only have one page. Additional resources on effective
memo writing are posted on the course’s blackboard site. The assignment must be submitted electronically before the beginning of the class period in which it is due.

Consider these rules when drafting your memos:

"I don’t think writers are sacred, but words are. They deserve respect. If you get the right ones in the right order, you can nudge the world a little."

Writing well is hard work, much of it dedicated to revision. If you have written a memo quickly, you probably haven’t written it well. When preparing your memo, consider the following guidelines:

1. Memos should not be longer than one page; single-spaced; one-inch margins; 12-point type. Indent each new paragraph.

2. Don’t use lists or bullet points. Use emphasis (such as bolding, underlining, or italicizing) sparingly. Never use more than one type of emphasis in a memo.

3. The introductory paragraph of a memo should:
   A. Provide an answer to the question in its first sentence; and
   B. Identify the main points that will be addressed in the process of answering the question. This is the road map for your memo. It tells the reader where you intend to go, and describes the path you will follow to get there.

4. The rest of the memo should follow the road map. In particular:
   A. Each of the points identified in the introductory paragraph should be addressed explicitly in the first sentence of one of the following paragraphs. Sometimes, of course, a point may have to be developed over two or three paragraphs. However, the following paragraph should begin with a sentence that explicitly addresses the next point.
   B. The points should be addressed in the body of the memo in exactly the same order as they are mentioned in the introductory paragraph.

5. You don’t need a final summative paragraph, which restates the argument, in these memos. You should, however, note the benefits and costs and the implications for the main actor in moving forward on what you have presented.

6. When editing the memo:
   A. Avoid run-on paragraphs. As a rough rule of thumb, a paragraph should not be more than eight lines long.
   B. Similarly, avoid long sentences. A semi-colon is usually a good place to start a new sentence.
   C. Cut unnecessary prose.
   D. Replace vague words with concrete words. Avoid bureaucratic language, such as ‘reprogramming.’
THE 5-30-3 TEST

In *five seconds*, the reader can scan the first paragraph and know roughly what your position is, and why.

In *thirty seconds*, the reader can scan the first sentences of all the following paragraphs, and have a better understanding of your line of argument.

In *three minutes*, the reader can read the entire memo and grasp the whole of your argument.

**Voucher Elevator Speech (DUE February 25th - In Class):**

**Task:** You have been retained as a senior policy advisor to Arizona Governor Jan Brewer. She is seeking some new policy alternatives for the state and people of Arizona. She has spent the better part of her life in public service and is seen as a pragmatic government leader and one willing to try different approaches (including the use of policy instruments) to achieve policy outcomes.

Governor Brewer has asked you to brief her on this high profile case. The new Governor is weighing whether to consider using vouchers for a range of possible policies, (education, housing, food, transportation, criminal justice etc.) and wants to have a better understanding of what went wrong and what can be done differently based on the Cleveland School voucher case. She is not assuming that policy domains are homogeneous in terms of successful implementation practices, but she does believe there is something to be learned about how government implements market-based mechanisms for the provision of what some deem to be inherently governmental services. So, in addition to briefing her on the Cleveland case and what you learned from having been Bert Holt’s senior adviser and confidante, Governor Brewer would greatly appreciate you contributing to her thinking about whether or not vouchers can be designed and implemented in other policy domains.

**Contracting Exercise:**

The case is a combination of a class memo and in-class exercise. The goal of the case is to develop a contract between a Local Mental Health Board (LMHB) and a nonprofit mental health services agency (Bridge). Follow the directions below. The following steps are involved:

1) Prepare a contract for the provision of services. Your initial contract is intended to further the goals of the entity you represent and be at least minimally acceptable to the other party. You will be randomly assigned to a two-person team representing either the LMHB or Bridge and be responsible for preparing one contract per team accompanied by a 1 page explanatory memo that covers the basic principles/assumptions/rationale behind the contract. **Additional details and instructions will be shared with you one month before this assignment is due. All team assignments will be due to me (by email) no later than Monday, March 30th 8:30am. I will then distribute ALL LMHB individual team memos to every other LMHB team. Then all**
LMHB teams will be expected to review all memos, identify relevant contract terms, issues, and negotiating points prior to then meeting the day of class. The same is true for the Bridge teams. NO LMHB teams should see a BRIDGE memo and vice versa.

2) In class on April 1st, each side (LMHB, Bridge) will spend about 60 minutes turning their multiple contracts into one contract. There will essentially be four LMHB and four Bridge groups. Bring your laptop if you have one.

3) Following that, the LMHB and Bridge representatives will negotiate on important contract terms that each thinks important from their individual position as well as the overall collective outcome. This portion of the exercise will take approximately 45 minutes.

4) This will be followed by a 45-minute discussion period.

If you want to find actual performance contracts, some of the major W-2 contracts referred to in the Heinrich and Choi piece (listed in the required readings for April 1) are available online. You are not expected to design a contract to this level of detail, but this is intended merely to give you a sense of how such contracts are actually done. For example, below is a link to a website from which you can obtain W-2 performance contract information for the "2006-09 and 2010-2011 periods".

http://dcf.wisconsin.gov/w2/contracts/20062009/default.htm
http://dcf.wisconsin.gov/w2/contracts/20102011/default.htm


The Office of Children and Family Services and The Office of Temporary and Disability Assistance in New York State also have websites with helpful information. See http://ocfs.ny.gov/main/bcm/ or http://otda.ny.gov/contracts/

**Group Implementation Project:**

The groups, **4 (minimum), 5 students (maximum),** will negotiate a topic with the professor which is to be a study of a policy/program that is currently being implemented at the federal, state, or local level, domestically or internationally. The research team will be responsible for examining the content of the policy, the environment and context in which the policy is being implemented, the actors and institutions involved, the policy instrument (s) being used, the precision and quality of the policy implementation criteria and guidelines, the target ‘client’ population, the level of alignment between the policy, program goals and the subsequent program performance measures(s) [think program theory, evidence, strategies, and logic models], and the implementation process. Using backward mapping skills, and policy field and multilevel analysis (weeks 1 & 2) group members are responsible for offering insight and analysis into the effectiveness of the program implementation they have examined. To the
extent that output and outcome measures exist, you should assess the degree of congruence between the policy and program goals, the implementation activities, and the actual results.

In addition, please discuss what could be changed, hypothetically, for more effective implementation, what should and should not be replicated, and what strategies you believe, based on your analysis, would ensure a successful program implementation consistent with the policy, law, and expectations. In other words, did the policy do what it was supposed to do, why or why not, and what should and could be changed? The report should also describe the methodology the team used to gather your data (such as interviews, published reports, secondary and archival data sources, public meetings, focus groups). Provide recommendations. Be clear and direct.

The report format is as follows: 25 pages (maximum), 1.5 spacing, 12 point font, 1 inch margins, plus references, appendices, and a 1-page executive summary. Each team will also present a 15-minute power point presentation of your key findings, followed by 10 minutes for a graded critique by a peer group and 10 minutes for questions and discussion from the class. The peer group assigned to critique your presentation, must receive your presentation 24 hours before you present. A rubric will be distributed to the class one month prior to group presentations to provide additional guidance on the critique. The presentations will take prior to the final group project paper being turned in.

Additional Resources:
You may wish to consult the National Implementation Research Network at http://nirn.fpg.unc.edu/. There are also a number of GAO reports that follow a very similar format. I would encourage you to check out www.gao.gov for more information on relevant reports and their one-page report highlights/executive summary. The GAO is also a good place to look for background information on federal agencies, policies, and programs. The Council on State Governments and the International City/County Management Association are excellent resources for state and local issues.


Note on Group Assignments:

- By the third week of class (1/28/15), I would like to hear from those that have formed their own groups. Groups should minimally have 4 persons, but should not exceed 5 individuals.
- By the fourth week (2/4/15), I would like a description from each group regarding their tentative group project description (broadly). This does not need to exceed one-page.
- By the fifth week (2/11/15), I would like a more refined description of what each team is working on, the program you’ll be reviewing, and the question you’re looking to answer.
One member of each team should serve as the liaison with the instructor and email this information prior to class (1/28, 2/4, & 2/11). A team liaison with the instructor is the most effective way to share information.

A group project evaluation form (attached as the last page of this syllabus) is to be used for you to evaluate every other group member’s contribution to the team, group project and presentation. Please complete one form per member, compile into one MS Word document, and email this file to me no later than April 29th at 6:00pm. I will use this in the student participation component of the overall grade.

Successful student teams have found that starting early and setting clear milestones helps facilitate a more successful project experience and analytical product. Working as a group and not simply assigning each other tasks is a main driver of success. Being respectful of your team members, attending meetings, and adhering to internal team timelines are important success factors.

Plagiarism:

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 and the graduate student handbook. See page 62 of the Handbook found at http://maxwell.syr.edu/uploadedFiles/paia/degrees/MPA%20Handbook%202014-15.pdf

Consultation and Assistance:

I am available to help you achieve the learning objectives for this course. If you are in need of any assistance or wish to discuss some element of the course or materials, please do not hesitate to contact me. Please do not wait until the last moment. Office hours are noted on the front of the syllabus. If you need to stop by during office hours with questions about the course material, please feel free to do so.

Course Philosophy and Policies:

Please treat your colleagues and the instructor with respect, sensitivity, and openness to new and different ideas. We are all different from one another. Use these differences as a learning opportunity. Be tolerant of differences in opinion and preferences.

Please be courteous to your colleagues and the instructor and avoid distractive practices, such as: tardy entrances, leaving the room while class is in session (of course, if you must leave for an emergency, to use the restroom, or for some other urgent purpose, that is fine), ringing cell phones, cell phone conversations, excessive conversation with other students and conducting activities unrelated to class discussions (Facebook, twitter, etc.).
No absence is permitted without proper consultation with the instructor except for a medical or family emergency.

This syllabus is a template of what will be covered this semester and is subject to change at the discretion of the instructor. Every attempt will be made to notify students of changes in a timely manner.

**Spring Semester Schedule**

**January 14**  
**Course Overview & The Context of Implementation**

**Required readings:**


**January 21**  
**Policy Interpretation and Discretion**

**In the News:**


**Required readings:**


**Case Study Discussion: The Silver Affair: The Limits of Public Service Discretion**

Here are some sample questions you may wish to consider as you’re reading through this case and in preparation for our discussion. How did or could Silver cultivate relationships with his principal? What types of disputes might arise in a relationship between a public manager and a chief? What balance does a public manager strike between loyalty and integrity? How does Silver think about those limits? What do you think of Silver’s decision to resign to save a program?

**January 28 Using Evidence to Set Goals, Develop Incentives, & Design Programs**

**In the News:**


**Required readings:**


**Case Study Speakers:** Landon Mascareñaz, Community & School Development Specialist, Office of School Reform and Innovation (OSRI) and Jack Becker, MPA’14, Coordinator, School Community Development and Change Management, Office of Family and Community Engagement (FACE), Denver Public Schools.

**February 4** Tools of Government – Managerial Choice Architecture

**In the News:**


**Required Readings:**


**Case Study Exercise:** To be distributed in class.
February 11  Tools of Government – Regulation

Case Study Memo Assignment Due: Making Work Pay for Seattle Public Housing Residents.
Case A. Electronic Hallway. The assignment will be distributed February 4th.

In the News:


Required readings:


White, L.H. (2014). “Ending The Federal Reserve System’s Overreach Into Credit Allocation.” Mercatus Center, George Mason University. Testimony before the Subcommittee on Monetary Policy and Trade, House Committee on Financial Services. March 12. This is a piece by the author who will speak at the Bantle Symposium on Friday, March 20th.

Case Study Speaker: Mr. Ron J. Feldman, MPA’90, Executive Vice President and Senior Policy Advisor, Federal Reserve Bank of Minneapolis. https://www.minneapolised.fed.org/authors/ron-j-feldman

February 18  Tools of Government – Tax Expenditures & Subsidies

In the News:


**Required Readings:**


**Case Study Speaker:** Dr. Leonard Burman, Director of the Urban Institute and Brookings Institution Tax Policy Center.

**February 23**

Tanner Lecture Series in Ethics, Citizenship and Public Responsibility
Mr. Collin O’Mara, MPA ’06,
President & CEO The National Wildlife Federation
(You are strongly encouraged to attend if you do not have a class conflict)

**February 25**

Tools of Government – Vouchers

**In the News:**


**Required readings:**


**Case Study Discussion:** The Cleveland School Voucher Program, Part A. You will be randomly assigned to teams to present on the following question. Each group will be given a maximum of three minutes to brief Governor Brewer.

**March 4**

**Tools of Government – Grants**

**In the News:**


**Required Readings:**


**Case Study Speaker:** Mr. Dustin Brown, MPA ’01, Deputy Assistant Director for Management, U.S. Office of Management and Budget.

**March 11**

**SPRING BREAK – NO CLASS**
March 18  Tools of Government – Loan Guarantees & Government Insurance

In the News:


Required Readings:


Case Study Exercise: The Development of a Cybersecurity Insurance Market.
Guest: Professor William Banks

March 20  Bantle Symposium Lecture on Government-Business Relations (Required Participation)

Dr. Larry White, Professor of Economics at George Mason University, will speak on “Can the Banking System Regulate Itself? Is Government Regulation an Improvement over Laissez Faire?

10:00 – 11:30am, Eggers 341
March 25  Tools of Government – Contracting (Incentive Based)

In the News:

There is so much material in the news every day on the issue of contracting that you can simply Google news and government contracting and you’ll find a broad range of domestic and international stories on this topic, broken down by level of government and policy area. Consult FCW.com, NextGov.com, Govexec.com, Governing.com, DefenseOne.com, etc.


Required readings:


**This article above has a very good reference list that is appropriate if you are seeking additional readings on issues of privatization and contract management.


In-Class Case Study Exercise and Assignment Due on April 1st: Electronic Hallway “Government-Nonprofit Contracting Exercise.”
April 1  Tools of Government – Contracting (Relationship Based) – In-Class Exercise

*Guidelines for this exercise will be distributed one month prior to this assignment.

**Required readings:**


April 8  Tools of Government – Public-Private Partnerships

**In the News:**


**Required readings:**


**Case Study Speaker:** Ms. Kate Clark, MPA, ’05.

**April 15**

**Group Presentations**

Group Project Presentations – 15 minutes for presentation, 10 minutes for graded critique by a peer group, and 10 minutes questions and discussion per group.

**April 22**

**LAST CLASS – GROUP PROJECT PRESENTATIONS**

Group Project Presentations – 15 minutes for presentation, 10 minutes for graded critique by a peer group, and 10 minutes questions and discussion per group.

**Group Project Reports DUE on Wednesday April 29th before 5:00pm.**
Peer Evaluation Form

Date:

Your name:

Team member being evaluated:

What are the individual group member’s assigned tasks and/or responsibilities in this project?

How well did the group member fulfill those tasks and/or responsibilities?

Good Points/Strengths:

Areas That Need Improvement:

Overall Assessment (-, -, 0, +, ++, ?) Additional Comments:
Optional Readings

Course Overview & the Context of Implementation


Special issue of the The Economist – “Taming Leviathan” March 19, 2011. Read pages 3-6/38 (Taming Leviathan); 7-13/38 (California Reeling); 16-19/38 (Go East, Young Bureaucrat); 26-30/38 (The Gods That Have Failed – So Far).


Policy Interpretation and Discretion


Using Evidence to Set Goals, Develop Incentives, & Design Programs


**Tools of Government – Regulation**


New York Times – two articles by Casey B. Mulligan for Economix. They are saved on the course’s Blackboard site as NYT Mulligan Economix Regulation. These include:


**Required reading: “Highlights,” “Letter” (pp 1-5), “Results in Brief” (pp 5-8)

**Optional reading: Remainder of report

**Required reading:** “Highlights” and “Letter” (pp 1-3)

**Recommended:** “Figure 1” (pp 6-7) and “Figure 2” (pp 17)

**Optional reading:** Remainder of report

**Tools of Government – Tax Expenditures & Subsidies**


**Tools of Government – Vouchers**


Tools of Government – Grants


Tools of Government – Loan Guarantees & Government Insurance


Readings on Government Sponsored Enterprises (if interested):


Tools of Government – Contracting


**Tools of Government – Public-Private Partnerships**


*This is an excellent resource for those really interested in PPPs.*