

**PUAD 5341: Public Policy Theory and Process, Spring 2013**

Department of Political Science, Texas Tech University

Wednesdays, 6:00-8:50 PM in Holden Hall 226

**1 Instructor Information**

Dr. Carie Steele

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Office Hours: W & F 10:00-11:30 AM and by  
appointment**2 Course Overview and Objectives**

This course is designed to provide an introduction to the study of public policy. Unlike other courses, which focus primarily on the content of policy, this course will focus on approaches to and empirical study of public policy. We will examine why and how policy is developed; how political, legal, economic, and social institutions affect the making of public policy; and how and why policy changes over time. Although there will be discussion of policy content, the primary objective of this course is to train students to observe and study the policy process.

**2.1 Course Learning Objectives**

After completion of this course, students should be able to:

- explain basic rationales for public policy.
- explain the concept of collective action and its affect on public policy.
- summarize and critique the different approaches/theories of public policy.
- use approaches/frameworks/theories/models of public policy to develop testable research questions and hypotheses.
- identify and explain the influence of institutions on the policy process.

**2.2 Guidelines for Success**

- Read carefully and take notes. There will be no PowerPoint slides for this course. You are responsible for doing the readings prior to class as well as taking notes on both the readings and class discussions. Failure to do so may jeopardize your ability to prepare for exams.
- You must attend class AND participate. This course will be conducted in a seminar format with participation making up a portion of your grade. Failure to attend class will have a negative impact on your final grade.
- Turn in your work on time. I do not accept late work. Assignments are due on the date given in class or on the syllabus and will not be accepted after that date, except under extreme circumstances.

- Do not plagiarize. Plagiarism is unacceptable and I have a zero tolerance policy — turning in any work that is not your own will result in a failing grade for the course.
- If you need accommodations because of a disability or an emergency, please inform me immediately. To request academic accommodations, students must contact Student Disability Services at 335 West Hall.
- If you are having difficulty with any part of this course — whether it is difficulty understanding the readings or poor performance on assignments — **SEEK HELP IMMEDIATELY**. I am happy to do what I can to help but **DO NOT WAIT UNTIL THE END OF THE SEMESTER**. There will be no review sheets/sessions, no extra credit, and no negotiation of final grades.

### 3 Course Format

This course will be conducted in a seminar format and will include both lecture and discussion. This course will require substantial reading, writing, and critical thinking. I expect students to have completed reading assignments for each week prior to class, and that students will be prepared to discuss readings and ask questions during class. This is a graduate level course and you should expect the workload for this course to reflect its graduate level status. Please expect to read 150-200 pages a week. In addition, you will have assignments that will also need your attention.

### 4 Required Readings

- Baumgartner, Frank and Bryan Jones. *Agendas and Instability in American Politics*. (2009) University of Chicago Press
- Kingdon, John. *Agendas, Alternatives and Public Policies*. 3rd edition. Longman Press.
- Olson, Mancur. *The Logic of Collective Action*. (1971) Harvard University Press.
- Ostrom, Elinor. *Governing the Commons*. (1990) Cambridge University Press.
- Sabatier, Paul. *Theories of the Policy Process* (2007) 2nd Edition. Westview Press.
- Stone, Deborah. *Policy Paradox: The Art of Political Decision Making*. 3rd edition. W.W.Norton Press.

Additional reading will be drawn from a variety of sources, including book chapters, journal articles and other source material. Additional readings will be provided in electronic form on the course Blackboard site. Students are responsible for checking the course Blackboard site regularly for any announcements, readings, or related information.

### 5 Course Requirements

Because this course is open to both MA and PhD students there are two sets of requirements; one set of requirements for MA students and another for PhD students. You are responsible for knowing and meeting the requirements for your particular status.

## 5.1 Attendance

Attendance is required. A substantial portion of students' grades will be comprised of participation. Participation can only occur if the student attends class. There will be no opportunities for extra credit or substitute assignments. Students with university related excused absences must notify the instructor of their absence with a written note from the university sponsor at least two weeks prior to the absence. Failure to provide this written documentation in advance will result in the absence being noted as unexcused. Students missing class for a religious holiday must notify the instructor of their absence two weeks prior to the absence. Other absences (e.g. family emergency, illness, etc.) will be deemed excused or unexcused by the professor following provision of written documentation.

There are some instances where a student may have multiple excused absences throughout the semester. Because this is a seminar and participation is a substantial portion of the final grade, excessive absences — even if excused — will hinder a student's progress. This class meets 14 times throughout the semester. Any student failing to attend at least 10 class sessions — even if those absences are excused — will receive an incomplete grade for the course. Students registered for this course have a responsibility to prioritize class time. If family obligations, extra-curricular activities, or job related scheduling conflicts will prevent you from attending at least 75% of the class meetings, it is perhaps best to reconsider whether this is an appropriate time to take this class.

## 5.2 Sign in for Turnitin

The University has a license agreement with Turnitin, an educational tool that helps prevent or identify plagiarism. This course will use the service by requiring you to submit assignments electronically to Turnitin. The Turnitin Originality Report will indicate the amount of original text in your work and whether all material that you quoted, paraphrased, summarized, or used from another source is appropriately referenced. This service checks students' work for originality against both internet sources as well as other work submitted to Turnitin.

You will be using Turnitin to submit some of your assignments. Using this tool requires you to sign in to the class. In order to ensure that everyone has signed in before having to turn in the first written assignment, students are expected to have completed the sign in procedures by class time on September 6th. I will not record any grades on any assignments for students who have failed to sign in to turnitin by September 6th.

### 5.2.1 Using Turnitin:

On the TTU Libraries website use the left-hand navigation bar. Go to Library Instruction — Plagiarism Prevention — Turnitin. Click the Sign In Using eRaider button. Enter your eRaider credentials when prompted to do so. To sign-up for a class for the first time enter the class ID: 5952461 and the password: PUAD5341 (be aware that the password is case sensitive). Once you have signed in, you will see a list of your classes. Click on Public Policy Theory to see the list of assignments associated with it. To turn in an assignment, look for the title of your assignment in the assignment list. To the right of the title, click the Submit icon. Where you see choose a paper submission method, leave the default setting single file upload. Enter submission title. To upload a file, click on the Browse button, find the paper on your disk or computer, then click Upload. Be sure it is the paper you want to send, then click submit.

### 5.3 MA Requirements

#### **Participation: 25%**

The class is a graduate seminar and students are expected to come to class prepared and having read assigned material. Participation is expected and required. This means you are not only expected to attend class every week, but you are also expected to contribute to discussion in a manner that demonstrates that you have completed and thought critically about the assigned readings — this may include posing questions or presenting discussion points. Please note: ATTENDANCE IS NOT PARTICIPATION.

Each week the professor will assess your participation out of 10 possible points and record it in the gradebook following class, beginning January 23rd. This class has 13 meetings during which participation will be graded, for a total of 130 possible points. Participation can only be completed in class. If a student misses class and it is an excused absence, the total number of possible points will be reduced by 10. Thus, the participation grade for a student with one excused absence would be out of 120. This ensures that the student is not penalized while also ensuring that a student does not get perfect marks for an assignment they were unable to complete.

There are some instances where a student may have multiple excused absences throughout the semester. Because this is a seminar and participation is a substantial portion of the final grade, excessive absences — even if excused — will hinder a student's progress. This class meets 14 times throughout the semester. Any student failing to attend at least 10 class sessions — even if those absences are excused — will receive an incomplete grade for the course. Students registered for this course have a responsibility to prioritize class time. If family obligations, extra-curricular activities, or job related scheduling conflicts will prevent you from attending at least 75% of the class meetings, it is perhaps best to reconsider whether this is an appropriate time to take this class.

You will receive notification of your current participation grade on February 20th and March 27th. Please use this information as an opportunity to improve your participation grade.

#### **Summary Papers: 25%**

Public Policy Theory is one of the core courses for the MPA program. As a result, every MA student should be prepared to answer theory related questions on their comprehensive exam. PAGA currently provides review material to individuals preparing to take the comprehensive exam. Unfortunately, this material is outdated and, without preparing such materials on your own, students often substitute information in the PAGA packet for their own knowledge. In order to help you prepare for the exam and to ensure all students arrive in class ready to participate in discussion, students will produce a summary paper **each week**. Response papers should be 1 to 2 pages single-spaced and should identify the primary research question, hypotheses, independent and dependent variables, and summarize the theory and relevant conclusions for **each reading**. Summary papers are due before the start of class each week and should be submitted using Turnitin.com.

#### **Comps Review Packet: 25%**

As a final product for this course, each student will compile and organize a packet of materials designed to help the reader prepare for the comprehensive exam and to be used by each student in place of the PAGA materials. The packet should organize review material in a meaningful way, categorizing like theories. It should provide summary information for each theory, including important research questions, hypotheses, variables, etc. In addition, it should include materials that

identify/describe/summarize connections across different theories. The review packet must include a table of content; a statement of what public policy theory is, its import, and why it is relevant to you; each of your summary papers (revised as needed); and additional materials identifying and describing connections between and across different theories, including similarities and differences in unit of analysis, underlying assumptions, theoretical components, testable hypotheses, etc. Comps review packets should be submitted using Turnitin.com.

**Final Examination: 25%**

The final examination will be a comprehensive exam that will be similar to that in which the students will have to take in order to successfully complete their programs. The final exam for this class is scheduled for 7:30 pm on May 11th.

**Grading**

Final grades will be based on the following weights:

Participation:	25%
Summary Papers:	25%
Comps Review Packet:	25%
Final Exam:	25%

The grading scale used for this course is:

A+	100-97	C	76.9-73
A	96.9-93	C-	72.9-70
A-	92.9-90	D+	69.9-67
B+	89.9-87	D	66.9-63
B	86.9-83	D-	62.9-60
B-	82.9-80	F	Below 60
C+	79.9-77		

**5.4 PhD Requirements**

**Participation: 25%**

The class is a graduate seminar and students are expected to come to class prepared and having read assigned material. Participation is expected and required. This means you are not only expected to attend class every week, but you are also expected to contribute to discussion in a manner that demonstrates that you have completed and thought critically about the assigned readings — this may include posing questions or presenting discussion points. Please note: ATTENDANCE IS NOT PARTICIPATION.

Each week the professor will assess your participation out of 10 possible points and record it in the gradebook following class. Thus, You will receive notification of your current participation grade on February 20th and March 27th. Please use this information as an opportunity to improve your participation grade.

Participation requires students to be in class. If a student misses a class for a university sponsored activity, religious holiday, or for a reason deemed by the professor to be an excused absence, the total possible participation points will be reduced by 10. This is to ensure that a student is not

penalized for the excused absence but also does not receive a perfect grade for an assignment that was not completed.

### **Research Proposals: 50%**

As a PhD student, you should be focusing on making the transformation from a consumer of literature to a producer of literature. One of the most difficult aspects of this transformation is producing useable research ideas. The best way to develop this skill is to practice developing research proposals. Not all research ideas and proposals are going to be promising but as a scholar you often can't determine that until you have fleshed out your ideas. Thus, the primary output for this course will be to produce 6 research proposals.

Ph.D. students choose 6 weekly topics between February 6 and May 1st on which to base their research proposal. For example, if a student chose to write during the week of February 6th, she would develop a research proposal related to collective action. Research proposals should focus on developing a research question, situating it within the theoretical literature, developing and hypotheses, and identifying the contribution of the question to the greater literature.

Research proposals should be 5-7 single-spaced pages using 12-point Times New Roman font with margins no more than 1.5 inches on either side. Research proposals should include in-text citations and a works cited section listing all citations.

All research proposals will be submitted using Turnitin — a plagiarism detection repository. For instruction on using Turnitin, see the policies section of this syllabus. Students may select for which six weeks/topics they would like to write research proposals but may not go more than three weeks without writing a proposal unless they have already submitted 4 proposals. Research proposals must be submitted to Turnitin by 6:00 pm on the evening of the assigned reading.

### **Final Examination: 25%**

The final examination will be a comprehensive exam that will be similar to that in which the students will have to take in order to successfully complete their programs. The final exam for this class is scheduled for 7:30 pm on May 11th.

### **Grading**

Final grades will be based on the following weights:

Participation:	25%
Research Proposals:	50%
Final Exam:	25%

The grading scale used for this course is:

A+	100-97	C	76.9-73
A	96.9-93	C-	72.9-70
A-	92.9-90	D+	69.9-67
B+	89.9-87	D	66.9-63
B	86.9-83	D-	62.9-60
B-	82.9-80	F	Below 60
C+	79.9-77		

## 6 Course Policies

**IMPORTANT:** Please note that late work will not be accepted and there are penalties for non-attendance. The instructor reserves the right to apply these penalties to the final grade. Students are encouraged to discuss any circumstances that might affect their performance in class with the instructor **BEFORE** it becomes an issue. This includes physical or intellectual challenges, illnesses, emergencies, or any event of which the instructor should be aware. Specific needs will be addressed on a case-by-case basis between the student and the instructor.

### 6.1 University Policy Regarding Disabled Students

Any student who, because of a disabling condition, may require some special arrangements in order to meet course requirements should contact the instructor as soon as possible to make the necessary accommodations. Students should present appropriate verification from Disabled Student Services, Dean of Students Office.

### 6.2 University Policy Regarding Religious Observation

Texas House Bill 256 requires institutions of higher education to excuse a student from attending classes or other required activities, including examinations, for the observance of a religious holy day. The student shall also be excused from time necessary for travel. An institution may not penalize the student for the absence and allows for the student to take the exam or complete an assignment from which the student is excused. Please let me know if you will be gone from class **prior** to missing that class.

### 6.3 Academic Dishonesty Policy:

According to the Texas Tech Student Handbook: “Academic dishonesty” includes, but is not limited to, cheating, plagiarism, collusion, falsifying academic records, misrepresenting facts, and any act designed to give unfair academic advantage to the student (such as, but not limited to, submission of essentially the same written assignment for two courses without the prior permission of the instructor) or the attempt to commit such an act.

Any such act will not be tolerated in this class. Any student caught plagiarizing their work will be given a failing grade for the course and reported to University officials for possible expulsion from the University. Additional information on TTU’s policy concerning academic dishonesty can be found at the following URL: <http://www.depts.ttu.edu/studentjudicialprograms/AcademicIntegrity.htm>

### 6.4 Turnitin

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**Using Turnitin:**

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## 7 Course Outline and Assignments

Date	Topic and Assignment
January 16	<i>Course Introduction</i>
January 23	<p><i>Theory and Theorizing</i> King, Keohane and Verba. <i>Designing Social Inquiry</i> Chapters 1-3</p> <p>Van Evera, Stephen. <i>Guide to Methods for Students of Political Science</i> Chapter 1</p> <p>Brewer, Garry D. "The Policy Sciences Emerge: To Nurture and Structure a Discipline" <i>Policy Sciences</i> 5:30 239-244</p> <p>Sabatier, Paul A. 2007. "The Need for Better Theories." In <i>Theories of the Policy Process</i>. Ed. Paul A. Sabatier. p3-17.</p>
January 30	<p><i>Coordination, Cooperation, Markets, and Public Policy</i> Lindholm, Charles. <i>The Market System</i> Chapters 1-4 and 8-12</p> <p>Schelling, Thomas. <i>Micromotives and Macrobehaviors</i> Chapter 1</p>
February 6	<p><i>Collective Action</i> Olson, Mancur. <i>The Logic of Collective Action</i> Introduction and Chapters 1-3</p>
February 13	<p><i>Institutions and Institutional Analysis</i> Ostrom, Elinor. "Institutional Rational Choice: An Assessment of the Institutional Analysis and Development Framework." Chapter 2 In <i>Theories of Policy Process</i></p> <p>Ostrom, Elinor. <i>Governing the Commons</i> Chapters 1-3 and 5</p>
February 20	<p><i>Neoinstitutionalism</i> March, James G. and Johan P. Olson. 1984. "The New Institutionalism: Organizational Factors in Political Life." <i>American Political Science Review</i> 78:734-49</p> <p>Macey, Jonathan R. 1992. "Organizational Design and Political Control of Administrative Agencies." <i>Journal of Law, Economics and Organization</i>. 8:93-110</p> <p>McCubbins, Mathew, Roger Noll, and Barry Weingast. 1989. "Structure and process, Politics and Policy: Administrative Arrangements and the Political Control of Agencies." <i>Virginia Law Review</i>. 75:431-82</p> <p><b>Participation grade notification</b></p>

- February 27      *Multiple Streams*  
Kingdon, John. *Agendas, Alternatives and Public Policies*.
- Zahariadis, Nikolaos. "Ambiguity, Limitations and Multiple Streams." In *Theories of the Policy Process*. Ed. Paul Sabatier.
- March 6      *Policy Formulation: Typologies*  
Lowi, Theodore. 1972. "Four Systems of Policy, Politics and Choice" *Public Administration Review* 32:298-310
- Heckathorn, Douglas and Steven Maser. 1990. "The Conceptual Architecture of Public Policy: A Critical Reconstruction of Lowi's Typology." *Journal of Politics*. 52:1101-23.
- Gromley, William T. 1986. "Regulatory Issue Networks in a Federal System." *Polity* 18:595-620.
- Wilson, James Q. 1980. "The Politics of Regulation." In *The Politics of Regulation*. Ed James Q Wilson. pg 357-394.
- March 13      **No Class — Spring Break**
- March 20      *Policy Formulation: Problem Definition and Agenda-setting*  
Stone, Deborah. 1998. *Policy Paradox*.
- March 27      *Incrementalism*  
Lindblom, Charles. "The Science of Muddling Through." *Public Administration Review*. 19:2 79-88
- Etzioni, Amitai. "Mixed Scanning: a 'Third' Approach to Decision-Making" *Public Administration Review*. 27:5 385-392.
- Lindbolm, Charles. "Still Muddlin, Not Yet Through." *Public Administration* 39:6 517-26.
- Participation grade notification**
- April 3      *Punctuated Equilibrium*  
Baumgartner, Frank and Bryan Jones. *Agendas and Instability in American Politics*.
- April 10      **No Class — Professor at MPSA**

April 17

*Network Approach*

Adam, Silke and Hanspeter Kriesi. "The Network Approach" Chapter 5 In *Theories of the Policy Process*

Marsh, David and Martin Smith. "Understanding Policy Networks: Towards a Dialectical Approach." *Political Studies* 48:4-21.

Borzel, Tanja A. "Organizing Babylon—On the Different Conceptions of Policy Networks." *Public Administration* 76:253-273.

Coleman, William et al. "Paradigm Shifts and Policy Networks: Cumulative Change in Agriculture." *Journal of Public Policy* 16(3):273-301.

April 24

*Advocacy Coalitions*

Jenkins-Smith, Hank C. Gilbert St. Clair and Brian Woods. 1991. "Explaining Change in Policy Subsystems: Analysis of Coalition Stability and Defection Overt Time." *American Journal of Political Science*. 35 851-80.

Mintron, Michael and Sandra Vergari. 1996. "Advocacy Coalitions, Policy Entrepreneurs and Policy Change." *Policy Studies Journal*. 24 420-38.

Sabatier, Paul A. and Christopher M. Weible. 2007. "The Advocacy Coalition Framework." In *Theories of the Policy Process*. Ed Paul Sabatier. 189-222.

May 1

*Policy and the States*

Nicholson-Crotty, Sean. 2009. "The Politics of Diffusion: Public Policy in the American State." *Journal of Politics*. 71 192-205.

Gray, Virginia. 1973. "Innovation in the States: A Diffusion Study." *American Political Science Review*. 67:4 1174-85.

Welch, Susan and Kay Thompson. 1980. "The Impact of Federal Incentives on State Policy Innovation." *American Journal of Political Science*. 24:4 715-29

Mintrom, Michael and Sandra Vergari. 1998. "Policy Networks and Innovation Diffusion: State Education Reforms." *Journal of Politics*. 60 126-148.

May 8

**No Class — University-wide Reading Day**

**SATURDAY  
MAY 11th**

**FINAL EXAMINATION 7:30-10:00 PM**

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