1.0: Instructors and Contact Information¹:

Eric T. (Rick) Mogren, PhD  
Email: MogrenE@pdx.edu  
Phone: (503) 936-9482

Andreas Schroeer, PhD  
Email: schroeer@pdx.edu

Please call or email to arrange office-hour appointments.

2.0: Meeting Times and Locations:

- Saturday, March 24, 2012: 9:00 AM- 5:00 PM, Cramer Hall Room 401
- Saturday, April 7, 2012: 9:00 AM- 5:00 PM, Cramer Hall Room 401
- Saturday, April 21, 2012: 9:00 AM- 5:00 PM, Cramer Hall Room 382

3.0: Course Purpose:  To develop an understanding of organization theory and behavior and how they apply to the practice of Public Administration in public and non-profit organizations.

4.0: Course Methods:  Consistent with your previous ExMPA courses, this course follows the performance-learning approach teaching philosophy and class norms employed in your previous EMPA courses (Attachment 1). The course includes readings, lectures, group and small group discussions, one written essay, and an integrative case study analysis.

5.0: Introduction:

The study of administrative theory is rooted in the European and American industrial revolutions and America’s westward expansion of the 18th and 19th centuries. Although organizations (such as the Catholic Church) existed prior to that period, those occurrences led to the formation of organizations of all sizes in multiple sectors intended to perform an ever-widening array of functions. In the private sector, these organizations took the form of for-profit businesses and corporations designed to maximize efficiency and profit. In the public sector, they took the form of government agencies and bureaus designed to provide public products and services. A third, non-profit sector provided products and services either ignored or inadequately addressed by private business and government entities.

¹ Dr. Schroeer will be out of the country for meeting dates 1 and 2.
Academics and practitioners in Europe and the United States in the late 19th and early 20th centuries developed general principles and techniques to guide organizational design and lead to efficient production regardless of setting. This body of “traditional” administrative theory centered on the concept of bureaucracy, organizational design, and the efficient administration of work. 

Critiques of the traditional bureaucratic model began appearing in the early to mid 20th century. A remarkable array of conceptualizations for organizations evolved as researchers and theorists from the fields of sociology, social psychology, psychology, political science, economics, and anthropology explored organizations as a widespread (but not sole) phenomenon of social constitution. Students and practitioners now have a wide variety of tools and models with which to study, design, and manage organizations of virtually every shape and size. 

Organizations are ubiquitous in our professional and personal lives and arguably the foundation upon which modern society is built. In general, the different bodies of theory agree on a conceptual definition of organizations as complex social structures that exist to meet some specified need. They also agree that organizations are comprised of common identifiable components and functions, although the degree of commonality and meaning assigned to these components and functions can vary between bodies of theory and between types of organizations. 

This course introduces students to the basic concepts of organizational theory, overviews the inner components and functions common to many organizations, and provides a practical model for analysis and diagnosis of organizational problems. Although it focuses on public and non-profit organizations, much of the material presented applies to organizations in other sectors of society as well.

The course follows two parallel but interrelated tracks and is organized under three parts. Track 1 consists of lectures, in-class discussions, and small group work related to course readings. Track 2 is an individual case study analysis designed to pace along with class meeting dates, discussions, and assignments. The three parts of the course generally correspond to the three meeting dates:

- Part 1: What organizations are and how to think about them
- Part 2: What makes organizations “tick”?
- Part 3: The operating environment

6.0: Course Outline:

6.1: Meeting 1 - Saturday, March 24, 2012

Part 1: What Organizations Are and How to Think About Them

Course orientation

- Introductions and identifications of case study organizations.
- Review of syllabus and course expectations.
Session 1: What is an “Organization”?  
- Small group and class discussion topics: What is an organization? How can we describe organizations? What general functions are common to all organizations? How are organizational boundaries defined? What is organizational structure? What is organizational behavior? How do the organizational components (structures, subsystems and functions) identified in Morgan, D.F. et al. (2008), Mintzberg (1993), and Morgan, G. (2006) compare? Differ?

Session 2: Classical Organization Theory  
- Small group and class discussion topics: What is the origin of organizations as we now know them? When and why did the study of organizations begin? What is “bureaucracy”? What are its main features? What is scientific management? What are its main features? What is the fundamental premise underlying classical theory? Under classical theory, what are the primary functions of organizational managers? What are the strengths and shortcomings of the classical approach to thinking about organizations?

Session 3: Alternative Theoretical Frameworks  
- Small group and class discussion topics: When and why did alternatives to classical theory arise? Why bother with any alternative? What is meant by organizations as “open systems”? What is “contingency theory”? Morgan, G. (2006) offers eight conceptual metaphors (“images”) by which to analyze organizations. We will focus on four: the “machine image” (aka classical organization theory), the “organism image” (Human Resources Management), the “cultural image,” and the “political image.” What are the strengths and shortcomings of each? How does the choice of conceptual frame(s) influence the conduct of organizational analysis?

Case study small group discussion  
- Describe the organization you chose as the focus your case study.
- Discuss and compare the nature of your organization with the others in your small group.
- Discuss the impact of (1) the level of analysis, (2) the nature of the organization, and (3) our frame of analysis in deciding how to resolve organizational problems or issues.

6.2: Meeting 2 - Saturday, April 7, 2012


Session 4: The Nature of Public Organizations  
- Small group and class discussion topics: What makes public organizations unique? What is the role of politics and policy on organizational function and behavior? What are the functions of public organizations? How do Mintzberg’s (1993) five parts of the organization and five organizational configurations apply to public organizations? To
what degree do Morgan’s (2006) images of organizations as “machines,” “organisms,”
“cultures,” and “polities” apply to public organizations?

Session 5: Organizational functions and subsystems

- Small group and class discussion topics: What functions and subsystems are common to
  public organizations? To what degree is functional alignment within an organization’s
  subsystems important? How do the subsystems and functions identified in Rainey
  they compare with your personal experience?

Session 6: Leadership and People

- Small group and class discussion topics: What motivates public employees? Nonprofit
  employees? What values do they each tend to hold? To what degree do these
  motivations differ between sectors? What does “leadership” mean in an organizational
  context? How is organizational culture defined? What is organizational identity? What
  is the relationship between organizational leadership, culture, and identity? What
  influences do culture and identity exert on organizational behavior? What are the
  enhancements and limitations that culture and identity exert on leadership?

Case study small group discussion

- Describe the nature of the issue or problem that you intend to analyze in your case study.
- Describe the level of analysis chosen for your case study and why you chose it.
- Describe the three conceptual metaphors (one primary and two supporting) from Morgan,
- Explain the degree of alignment you see between your organization’s environment and its
  five general subsystems as defined by Morgan, G. (2006, p. 55-58). Are those general
  subsystems relevant to your focal organization? Are there other subsystems relevant to
  your organization that are not identified by Morgan, G. (2006)? Does the issue pending
  before your organization threaten that alignment? Or is (mal)alignment itself the issue?

6.3: Meeting 3 - Saturday, April 21, 2012

Part 2: What Makes Organizations “Tick”? (continued)

Session 7: The Nature of Nonprofit organizations

- Small group and class discussion topics: What makes nonprofit organizations unique?
  How do the functions and subsystems of nonprofit organizations compare/contrast with
  public organizations? How do you think Mintzberg’s (1993) five parts of the
  organization and five organizational configurations apply to nonprofit organizations?
  How do the four organizational images from Morgan, G. (2006) apply to nonprofit
  organizations?
Part 3: The Operating Environment

Session 8: Constituencies and Networks

- Small group and class discussion topics: What constituencies does your organization serve? What are their expectations? What is the nature of the relationship between your constituencies and the organization? How do constituencies influence organizational culture and behavior? What is meant by the phrase “governance by network”? Why is it so prevalent? What challenges are presented in meeting the horizontal needs of network participation and the vertical demands of organizational hierarchy? What are the opportunities and challenges presented by network governance? What are the implications for public service training? What are the differences in the network experience of nonprofit organizations and the experience of public organizations?

Case study small group discussion

- Present your proposed approach to your case study, emphasizing the way you applied the three organizational metaphors you chose and the degree to which existing organizational subsystems will assist or hinder the resolution of your issue/problem/challenge.

Course wrap-up and evaluation

7.0: Course Expectations and Evaluation:

This is a large class with a lot of material to cover. It is important that we start on time and that each student come ready to participate in the day’s discussions. Please be prompt and prepared. The EMPA Class Norms provided for PA 517 and PA 518 applies.

7.1: Assignments: See table of assignments at attachment 2.

7.2: Student deliverables:

1. Student preparation for, attendance at, and participation in each session
2. Short essay, to be completed by meeting date 2 and submitted on D2L the following Sunday
3. Case study analysis, with portions to be completed by each meeting date and submitted on D2L by the following Sunday
4. Class evaluation

7.3: Short essay:

- Using the case study organizational description completed for meeting date 1 (see below), prepare a short (no more than 5 double-spaced pages, approximately 1200 words), compare and contrast the applicability of each of the four organizational frameworks (Morgan, G., 2006) to your case study.
• Briefly discuss which among these models is most applicable to the organization that you selected for your case study and justify your choice of the primary and two alternate images that you intend to use.

7.4: Case study analysis:

• Each student is to analyze an issue, challenge, or problem facing an organization with which you are personally familiar. The analysis will follow the diagnostic model offered by Morgan, G. (2006, chapter 11) as informed by Mintzberg (1993).

• The case study will be completed as the course progresses, with portions to be completed by each meeting date and submitted on D2L the Sunday thereafter. The later submittal is intended to allow time for any changes you wish to make based on the meeting discussion.

• Prior to meeting date 1:
  o Describe the organization you wish to analyze organized per the outline at attachment 3. You are free to add additional relevant aspects of your organization as appropriate. In the event a listed element is not relevant to your organization, explain why.
  o The target length of this portion of your case study is 2 – 3 double spaced pages.

• Prior to meeting date 2:
  o Prepare a statement of the issue, challenge, or problem facing your organization.
  o Describe the alignment between the organization’s environment and strategy, technology, human, structural, and managerial subsystems and how the issue, challenge, or problem affects that alignment (see Morgan, G. (2006), pages 55-58.)
  o Identify one primary and two supporting “images” (conceptual frameworks) from the “machine,” “organism,” “culture,” and “political” images offered by Morgan, G. (2006, chapters 2, 3, 5, and 6) that you will use to conduct your analysis.
  o The target length of portion of the case study is 2-3 double-spaced pages.

• Prior to meeting date 3:
  o Complete your analysis.
  o Design an approach to resolving the issue, challenge, or problem.
  o Diagnose the degree to which each organizational subsystem offers opportunities and/or obstacles to resolving the issue at hand. In your diagnosis, discuss how the opportunities presented can be exploited and how anticipated obstacles can be avoided or overcome.
  o Add this analysis and recommended approach to your previously submitted material. You are free to revise the previously submitted material as appropriate.
  o The target length for the final report is 10 -12 pages, inclusive of the previously completed work.
7.5: Grading:

- 30%: Short essay
- 30%: In-class participation
- 40%: Case study analysis paper

8.0: Course Reading Materials:

8.1: Required Books:

8.2: Required material posted on D2L:

8.3: Optional Reading: Those wishing to further explore the concepts raised in this course may be interested in the following:

*Organizational theory and behavior:*
- Shafritz, Jay and Ott, J. Steven (Eds.), (2010). *Classics of Organizational Theory (7th Ed.)*.

*Organizational analysis and design:*
- Perrow, Charles, (1986). *Complex Organizations (3rd Ed.)*.
Non-profit organizations:

Organizational identity and culture:
- Hatch, Mary J. and Schultz, Majken (Eds.), (2004). *Organizational Identity: A Reader.*

Organizational decision-making:

Governance by network:

Attachments:
1: Performance-Learning and Class Norms
2: Table of Assignments
3: Case Study Outline
Attachment 1

Performance-Learning and Class Norms

The course will use the performance-learning approach that is based on a Confucian adage of:

- What I hear, I forget…
- What I see, I remember…
- What I do, I understand…

ExMPA cohort members bring with them a rich background of life and public sector experience. This experience forms a valuable input to the learning process. Since this course aims at increasing both individual learning and leadership practice, each student is expected to fully engage in assignments and exercises designed to accelerate competence and confidence.

Class Norms for the 2011 Cohort (Adapted from PA 517 and 518):
The Executive MPA 2011 Cohort agreed to abide by the following class norms and, when appropriate, revisit these norms with their class instructors at the beginning of each course.

1) What’s said in class stays in class. This means that there will be no attribution by name or position of anything that is said in class and that class members will be constantly mindful of the need to protect the privacy of classroom conversations when interacting with others outside of class.

2) Class members will treat one another with professional respect and not engage in disrespectful behavior when disagreeing with one another or providing constructive criticism.

3) Class members will avoid having sidebar conversations while someone else is speaking.

4) Class members will honor the agreed-upon start-up time of class sessions with the following shared assumptions:
   a. Breaks at least 15 minutes in the morning/afternoon (or by request)
   b. General class schedule 9:00 – 12:00, 1:00 – 5:00

5) Instructors are expected to be responsive to student learning needs, including prompt responses to queries and the return of papers. Each instructor will provide students with their schedule of availability and best mode of contact.

6) Be actively engaged in all cohort discussions/activities, and work together to make the learning journey an enjoyable.

7) Cell phones can be accessible in class as long as they are on silent mode. If a call must be taken, students are asked to leave the room during class sessions to minimize disruption.

8) Fellow students and staff will assist one another in navigating the technology rich environment of the university setting.

9) There are no “dumb questions”.

## Table of Assignments

<table>
<thead>
<tr>
<th>Meeting Date</th>
<th>Session Title</th>
<th>Assignments: Class Discussion</th>
<th>Assignments: Case Study</th>
</tr>
</thead>
<tbody>
<tr>
<td>March 24: What Organizations Are and How we Think about Them</td>
<td>Course orientation</td>
<td>Review syllabus and expectations</td>
<td>Submit description of the organization to be studied (see syllabus section 7.4 and attachment 3)</td>
</tr>
</tbody>
</table>
| | 1: What is an “organization”? | Read:  
- Read Morgan, D.F. et al. (2008) pp. 129-147 and 151-152 | |
| | 2: Classical Organizational Theory | Read:  
- Rainey (2009) pp. 24-33  
- Perrow (1986) chap 1 & 2 | |
| | 3: Alternative Theoretical Frameworks | Read:  
- Rainey (2009) pp. 34-52  
- Skim Rainey (2009) pp. 53-57 | |
• Submit the issue to be studied; an analysis of subsystem alignment; and the 3 images you will use for your analysis by Sunday, April 8 (see syllabus section 7.4 and attachment 3) |
| | 5: Organizational functions and subsystems | • Skim Rainey (2009) chaps 6 & 7  
• Read Rainey (2009) chap 8 | |
- Skim Rainey (2009) chap 10  
- Read Ashforth and Mael (2004) chap 8, pp. 134-154 | |
<p>| | | | Submit short essay on Sunday, April 8 (see syllabus section 7.3). |</p>
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<td></td>
<td>8: Constituencies and Networks</td>
<td>• Read Morgan, G. (2006), chap 3, pp. 33-69</td>
<td>• Submit final case study report by Sunday, April 22 (see syllabus section 7.4 and attachment 3)</td>
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<td></td>
<td>Wrap up</td>
<td>• Reread Rainey, pp. 43-49</td>
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<td></td>
<td>Complete course evaluation (in class)</td>
<td>• Read Goldsmith and Eggers (2004) chaps 1-3, pp. 3-52 and chap 7, pp. 157-178</td>
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Attachment 3

Case Study Outline

Prior to the first meeting date, complete the following aspects of your case study analysis. You may arrange the various components in any order you wish. The target length of this submittal is 2 – 3 double-spaced typed pages:

- The name of the organization.
- Describe the organizational type (public or nonprofit) and funding source(s) (see Rainey, p. 76). Also identify which of the configurations offered by Mintzberg (1993, p. 23) most closely aligns with your chosen organization.
- Describe the mission of the organization and the nature of its work.
- Describe whether the organization represents a “closed” or “open” system.
- Describe the products and services provided.
- Describe the organizational size (number of people) and budget.
- Identify the location(s) at which organizational work is performed.
- Describe the operating environment:
  - The place of the organization with regard to vertical hierarchy.
  - The clients / constituencies served.
  - Other organizations with which the organization must interact (its operating network(s)).
- Describe the organizational leadership environment:
  - How is leadership exercised?
  - Who exercises it?
  - Describe the decision-making processes used within the organization.
- Describe the parts of the organization. Use the five-part framework offered Mintzberg, 1993, as a guide. Add additional components to those suggested by Mintzberg, if appropriate.
- Describe the organizational culture and values:
  - What values are promoted or espoused by the organizational leadership?
  - What are the shared values held by organizational members?
  - What are the normative expectations of the organization on its members?
  - How influential are values in organizational decision making?
- Other aspects or components of the organization as you feel appropriate.
Prior to the second meeting date, complete the following aspects of your case study analysis. You may arrange the various components in any order you wish. The target length of this submittal is 2 – 3 double-spaced typed pages. Please include the name of your organization in your submittal and submit it at the end of the meeting day:

- Describe a problem, challenge, or issue facing your organization that you wish to analyze.
  - Explain the nature of the problem.
  - Explain the degree to which this issue or problem threatens or disrupts the alignment between your organization’s environment and strategy, technology, human, structural, and managerial subsystems.
  - Explain the degree to which your issue or problem affects the vertical and/or horizontal responsibilities of your organization.
  - Explain the degree to which the issue or problem challenges organizational values and cultural norms.

- Identify the level of analysis (individual, organizational unit or subsystem, the complete organizational structure, or social setting within the organization operates) you believe applicable to the problem you wish to study.

- Identify one primary and two supporting “images” (conceptual frameworks) from the four frameworks as defined by Morgan, G. (2006) and identified in class as the basis of your analysis.

Prior to the third meeting date, add the following aspects to your first two submittals of your case study analysis. You may arrange the various components in any order you wish. The target length of the completed case study is 10-12 double-spaced typed pages inclusive of the previously submitted work. Previously submitted work may be revised as you feel appropriate:

- Complete your analysis.

- Design an approach to solving the issue or problem identified for your organization, using the approach presented in Morgan, G. (2006) chapter 11.

- Diagnose the degree to which each organizational subsystem offers opportunities and/or obstacles to resolving the issue at hand. In your diagnosis, discuss how the opportunities presented can be exploited and how anticipated obstacles can be avoided or overcome.
PSAA 601: Foundations of Public Service

Fall 2014
Meeting Time: Wednesdays 8:00am-10:50am; 1:30pm-4:20pm
Room: 1063; 1017

Instructor: Justin B. Bullock
Office: 1034
Office Hours: Thursdays, 8:30am-11:30am and by appointment
E-mail: jbull14@tamu.edu

Introduction
PSAA 601 provides a foundation that will help you to understand and to think critically about the organizational, political, and constitutional environment of public service. The course examines different perspectives on management and leadership, and it provides an overview of how public and nonprofit organizations operate. Although it focuses primarily on the United States, many of the concepts it addresses are relevant to other countries as well.

This syllabus is a proposed outline of the course. It is not a binding contract. Notification will be provided for any required changes. This course is intended to be educational and enjoyable. You are encouraged to ask questions and to participate in class discussions. This will help you to get the most out of the valuable time you are investing in the course. No prerequisites are required for this course.

Essential Elements and Learning Outcomes of PSAA 601 Foundations of Public Service

After successful completion of this course, the students will be able to:
1. Examine how public and nonprofit administrators use a combination of formal and informal leadership strategies to gain influence and power within their organizations.
2. Explore the role played by citizens in the creation, implementation, and practice of public programs.
3. Develop a general appreciation for core management functions performed by public organizations such as budgeting and human resources administration.
4. Develop a general appreciation for the role of practical theories of organization in public management.
5. Explore changes and developments in study and practice of American public administration from the founding period to the present.
6. Discuss how disciplines such as history, political science, philosophy, and organizational science have come to influence and shape modern public administration.
7. Apply the material learned in class to the dilemmas and challenges faced by public managers.
This is an introductory course. Accordingly, many of the topics in PSAA 601 are covered in greater depth elsewhere in the MPSA curriculum. As you learn about key concepts and practical theories in public service, you will also complete research assignments that require you to write reports, make presentations, and work in teams.

Aggie Honor Code and Academic Integrity
“An Aggie does not lie, cheat or steal, or tolerate those who do.”

You have a responsibility for adhering to Texas A&M University’s Honor Code. For information about the code and how it is enforced you may visit: www.tamu.edu/aggiehonor/

You should be particularly careful to cite the work of others when completing written assignments. Please consult section XIII of your student handbook for guidance on avoiding plagiarism and other forms of academic misconduct. You should also feel free to contact me for the clarification of any issues that seem ambiguous. The best way to avoid plagiarism is to err on the side of caution when you are in doubt about the need to cite sources.

The Americans with Disabilities Act
The Americans with Disabilities Act (ADA) is a federal anti-discrimination statute that provides comprehensive civil rights protection for persons with disabilities. Among other things, this legislation requires that all students with disabilities be guaranteed a learning environment that provides for reasonable accommodation of their disabilities. If you believe you have a disability requiring an accommodation, please contact the Department of Student Life, Services for Students with Disabilities, in Room 126 of the Koldus Building or call 845-1637.

Grading
Marks for this course will be apportioned as follows:
Case Study: Midterm 25%
Group Project: Agency 25%
Group Project: Program 25%
Case Study: Final 25%

The final grade is determined by a summation of results from these assignments. The letter grades correspond to the below summations.

A 90-100% D 60-69 percent
B 80-89% F below 60 percent
C 70-79%

Late assignments will not be accepted. If you notify me of a conflict a week before the midterm or final we can arrange for you take the test at an earlier date. Exceptions to these rules are family, medical emergencies, and additional exceptions made in student rule 7 http://student-rules.tamu.edu/rule07.
Grades for this course center around two mediums: case studies and group projects. These mediums are chosen over more traditional mediums – such as written exams – for a variety of reasons, which we will discuss in class. Two case studies will be given during the semester. Either working alone, or in groups up to three individuals, you will be given a case study to examine. The case study will be distributed a week before the due date. The case study will require you to write a memo of 15-20 double-spaced pages making a recommendation to a superior with appropriate references to course material and information external to the course.

Two group projects will constitute the remainder of your grade. The groups will have approximately five members and will be randomly assigned by me. The purpose of these projects will be to have the group provide an in depth look at a major federal or state agency, in one project, and a major federal or state program, in the second project. These projects are designed to help develop your skills as a writer, presenter, and work-group member. These projects will also allow you to give and receive detailed feedback on the performance of your work as a group member.

I encourage you to consult with me if you have questions about your assignments. Also, I encourage you to seek the advice of the Bush School’s writing consultant.

**Textbooks**

PSAA 601 relies on two main texts for this course:


The course will closely follow the Kettl and Fessler text. Relevant journal articles and case studies will be drawn from the Stillman text, when appropriate.

**Useful links:**

- Academic Calendar [http://registrar.tamu.edu/General/Calendar.aspx](http://registrar.tamu.edu/General/Calendar.aspx)
- Final Exam Schedule [http://registrar.tamu.edu/General/FinalSchedule.aspx](http://registrar.tamu.edu/General/FinalSchedule.aspx)
- On-line Catalog [http://catalog.tamu.edu/](http://catalog.tamu.edu/)
- Religious Observances [http://dof.tamu.edu/content/religious-observance](http://dof.tamu.edu/content/religious-observance)
- Center for Teaching Excellence [http://cte.tamu.edu/](http://cte.tamu.edu/)
Course Outline

Introduction (9/3)

Part 1: The Job of Government

Kettl Chapter 1: Accountability (9/10)
Stillman Chapter 15: The Relationship Between Bureaucracy and the Public Interest: The Concept of Administrative Responsibility
Stillman Chapter 16: The Relationship Between Ethics and Public Administration: The Concept of Competing Ethical Obligations

Kettl Chapter 2: What Government Does – And How it Does It (9/17)
Stillman Chapter 1: The Search for the Scope and Purpose of Public Administration
Kettl Chapter 3: What is Public Administration?

Part 2: Organizational Theory and the Role of Government’s Structure

Kettl Chapter 4: Organizational Theory (9/24) (Leadership w/ Holly 2nd half)
Stillman Chapter 2: The Formal Structure: The Concept of Bureaucracy
Stillman Chapter 3: The General Environment: The Concept of Ecology

Kettl Chapter 5: The Executive Branch (10/1)
Stillman Chapter 5: Intergovernmental Relations (IGR): The Concept of Opportunistic Federalism

Kettl Chapter 6: Organization Problems (10/8)
Stillman Chapter 6: Internal Dynamics: The Concept of the Informal Group
Stillman Chapter 7: Key Decisions Makers Inside Public Administration: The Concept of Competing Bureaucratic Subsystems

Kettl Chapter 7: Administrative Reform (10/15)
Stillman Chapter 4: The Political Environment: The Concept of Administrative Power
Stillman Chapter 13: Administrative Reorganization: The Concept of Tides of Reform

Case Study: Midterm DUE & Group Project: Agency DUE and PRESENTATIONS (10/22)

Part 3: People in Government Organizations

Kettl Chapter 8: The Civil Service (10/29)

Kettl Chapter 9: Human Capital (11/5)
Stillman Chapter 9: Administrative Communication: The Concept of Its Professional Centrality
Stillman Chapter 10: Public Management: The Concept of Collaborative Processes
Stillman Chapter 11: Public Personnel Motivation: The Concept of the Public Service Culture
Part 4: Making and Implementing Government Decisions

  Kettl Chapter 10: Decision Making (11/12)
  Stillman Chapter 8: Decision Making: The Concept of Incremental Choice

  Kettl Chapter 11: Budgeting (11/19)
  Stillman Chapter 12: Public Budgeting: The Concept of Budgeting and as Political Choice

  Group Project  work day (11/26)

  Kettl Chapter 12: Implementation (12/3)
  Stillman Chapter 14: The Relationship Between Politics and Administration: The Concept of Issue Networks

  Case Study: Final DUE & Group Project: Program DUE and PRESENTATIONS (TBD)
This course introduces students to the field of public administration. It examines major intellectual and constitutional foundations of American government and public administration. It introduces a theoretical approach to the study of public administration that emphasizes the interactive relationship among individuals, governance institutions, and society.

Students are expected to come away with basic theoretical perspectives about the role of public administration in modern societies. These perspectives will be helpful for students preparing for more advanced courses in public administration. The course is also designed to help students enlarge analytical, communication, and writing skills in preparation for graduate level education and career advancement.

Course objectives can only be attained with the active participation of all participants. Every participant will be required to make oral presentations and to lead class discussions. It is important to remember that we are a professional school which aspires to cultivate professional knowledge and skills such as writing, presentations, collaborative work, and facilitation of group discussion.

Course Requirements

1. You are required to attend every class session and to come prepared to participate in class discussions. In order to have informed discussions, you MUST read all the assigned materials before each class.
2. Team presentation: Each team will be responsible for presenting an overview and critique on a set of course readings and/or leading a case discussion. Please see Appendix I for further details.

3. An Issue Memo (five to six pages, single-spaced): The first draft is due October 13, 2014. The final version of the memo is due Nov 17, 2014. For detailed instructions, see Appendix 2.

4. There will be in-class exercises and case discussions in some sessions. The cases can be found in the textbook, Donald F. Kettl, *The Politics of the Administrative Process*, 6th edition.

5. There will be a final exam.

**Performance Evaluation**

The final course grade will be computed as follows:

<table>
<thead>
<tr>
<th>Component</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Team presentation</td>
<td>25%</td>
</tr>
<tr>
<td>One Issue Memo</td>
<td>25%</td>
</tr>
<tr>
<td>Final Exam</td>
<td>35%</td>
</tr>
<tr>
<td>In-class exercises and participation</td>
<td>15%</td>
</tr>
</tbody>
</table>

**Textbook**


In addition to the textbook, there are many articles from journals and chapters from edited books. For journal articles, you can log on this link: [http://www.usc.edu/libraries/](http://www.usc.edu/libraries/). Then, go to “Popular Links” and click on “Database quick links” on the left side of that box. You will then see several databases of electronic texts. We generally use JSTOR and Proquest. Choose one of those and type in the name of the journal in which the article is published, followed by the author’s name and the title of the article. You should be able to open and download the articles for this course using these steps.

For book chapters, you can log on Blackboard for this course; click “Content” on the left hand side of the screen, then click “Book Chapters”, and you will be shown a list of book chapters available for download.

**Policy Regarding Disability Services and Programs**

Any student requesting academic accommodations based on a disability is required to register with Disability Services and Programs (DSP) each semester. A letter of verification for
approved accommodations can be obtained from DSP. Please be sure the letter is delivered to me as early in the semester as possible. DSP is located in STU 301 and is open early 8:30 a.m. – 5:00 p.m., Monday through Friday. The phone number for DSP is (213) 740-0776.

COURSE OUTLINE

WEEKLY CLASS SESSIONS AND READING ASSIGNMENTS

Session no. 1 Aug 25 Introduction

Sept 1 Labor Day, University Holiday

Session no. 2 Sep 8 The Study of Public Administration

_The article by Woodrow Wilson is considered by most scholars as the first scholarly publication in the U.S. that examines public administration as a field of study. The article raises many questions that are still being debated nowadays: (1) Should politics be separate from administration? (2) Should administrative responsibilities be concentrated or dispersed? (3) Is there a generic set of administrative principles that can be applied across different political systems?_


Kettl
Ch. 3 “What is Public Administration?”

Ch. 2 “What Government Does –and How it Does It”

Kettl
Cases 3.1, 2.1, and 3.3

Session no. 3 Sep 15 The Constitutional Foundations of American Public Administration

BEGIN TEAM PRESENTATIONS

_One can hardly understand American Public Administration without considering the federal system in which government agencies operate. A classic statement on the basic design principles of American Federalism can be found in the Federalist Papers No. 10 and No. 51 written by James Madison who emphasizes the importance of developing a constitutional system that safeguards citizens against any arbitrary exercise of authority and the tyranny of the majority. When you are reading these classic papers, you may want to think about whether the institutional design_
principles Madison discusses are still valid for contemporary America.

The chapter by Morgan, England, and Pelissero examines the basic features and evolution of American Federalism. What are the major ways in which Federal and state governments are related to local governments in the U.S.? Peterson examines two contending perspectives for understanding American Federalism: functional and legislative theories. What are the major elements of these two theories? Which of these two theories better explain recent trends in American politics?

Local governments play an important role in American Federalism. According to Morgan, England, and Pelissero, what are the major historical events that led to the current forms of local government in the U.S.?

James Madison (1787 & 1788) The Federalist Papers, No. 10 & No. 51 (Available from Blackboard)


Session no. 4 Sep 22 Organization Theory and Government Structure

One of the abiding concerns of the field of public administration has been how to design and structure formal organizations to accomplish the work of government. Do you see any patterns of organization that seem to be necessary to carry out efficient and effective public work? Why do we seem to replicate similar organizational structures?

Kettl
Ch.4—“Organization Theory”

Ch. 5—“The Executive Branch”


Kettl
Cases 4.1, 4.2, and 5.2
Session no. 5 Sep 29 Organization Problems and Administrative Reform

Try to identify the problems associated with hierarchical organizations and the problems of relating the technical expertise of administrators to the lay knowledge of citizens in a government that aspires to be democratic. What are the barriers to administrative reform? What do we seek to accomplish in different approaches to administrative reform.

Kettl
Ch. 6—Organization Problems

Ch. 6—Administrative Reform


Kettl, Cases 6.1, 6.2, 7.1, and 7.3

Session no. 6 October 6 Guest speakers in lieu of midterm exam in previous semesters

Session no. 7 Oct 13 Social Capital and Governance

(First Draft of Issue Memo Due)

The concept of “social capital” was used by the sociologist James S. Coleman in the 1980s to study the conditions for student performance at school. The concept was popularized by the political scientist Robert Putnam in the 1990s. What is the meaning of social capital? Why is social capital important for governance and social problem solving?

Since the popularization of the concept in the early 1990s, many empirical studies have been done to understand the antecedents and impacts of social capital. The article by Larsen et al. examines the relationship between social capital and civic action. What are the policy implications of their empirical findings?


Resources at my.usc.edu)
(Available from Electronic Library Resources at my.usc.edu)
Video: "Putnam on Social Capital"
Session no. 8 Oct 20 Rationality and Decision-Making
The task of decision-making pervades any administrative organization. Thus a fundamental
question in administrative analysis is what constitutes rational decision-making. In the article
"The Science of 'Muddling Through'," Charles Lindblom contrasts two approaches to decision
making--rational comprehensive vs. successive limited comparisons. What are the major
differences between these approaches? Which of these two approaches is more useful for
understanding decision-making? What lessons can you draw from Simon's story "The Apple: A
Story of a Maze"? Does the story provide you with any insight about real-life decision-making?
Gladwell’s chapter in his best-selling book ,Blink: The Power of Thinking Without Thinking,
examines the importance of having “a balance between deliberate and instinctive thinking” when
making critical decisions. To what extent does Gladwell’s argument support or contradict
Lindblom’s and Simon’s arguments?
Kettl, Ch. 10 “Decision Making”
Vol. 19, No. 2, pp. 79-88. (Available from Electronic Library Resources at my.usc.edu)
his Blink: The Power of Thinking without Thinking, New York: Little, Brown, and Company.
(Available from Blackboard)
York: Basic Books. (Available from Blackboard)
Kettl, Cases 10.2 and 10.3
Session no. 9 Oct 27 Administrative Ethics
Administrative ethics emerged as a field of study with the New Public Administration movement of
the 1970s. It has come a long way and has generated a large body of literature, but it is still
struggling to establish its centrality in MPA programs. What do you see as the most significant
concerns of this area of study and professional training?
Terry L. Cooper, “Big Questions in Administrative Ethics: A Need for Focused,
6


Session no. 10 Nov. 3 The Administrative State

With the publication of Dwight Waldo’s The Administrative State in 1948, the concept of the administrative state became one of the abiding topics of study and research in public administration. The dominance of administrative agencies over the political process surfaced concerns about the relationship between bureaucracy and democracy, and how technical expertise and citizenship are related. What do you see as the main concerns about those matters today? Have they diminished or intensified? What kinds of examples can you identify that illustrate these problems?

Kettl, Part V “Administration in a Democracy”

Ch. 13 “Regulation and the Courts”

Ch. 14 “Executive Power and Political Accountability”


Session no. 11 Nov. 10 Civic Engagement in Governance

Civic engagement is the term currently in use to cover both citizen participation efforts initiated by public agencies, and efforts to participate in governance advanced by citizens and civil society organizations. Deliberative democracy and collaborative governance have become key concepts for responding to the need to include citizens in the governance process. Try to identify what you think ought to be the next steps in this process.

Check out the websites for:

The Deliberative Democracy Consortium  
http://participedia.net/en/organizations/deliberative-democracy-consortium

Mindmixer  
http://www.mindmixer.com/

The International Association for Public Participation (IAP2)  
http://www.iap2.org/


Institute for Local Government, League of California Cities  
http://www.ca-ilg.org/public-engagement

Session no. 12 Nov. 17 **Conditions for Effective Community-Based Organizations**

(Final Version of Issue Memo Due)

In addition to markets and hierarchies, community-based organizations can be effective means for solving major governance problems in society. What are the essential conditions for the effective functioning of these types of organizations? Can governments play a role in supporting these organizations? Are there drawbacks in emphasizing such organizations as a governing instrument?


Video: “Owning the Dream: Public Housing Resident Management”

Session no. 13 Nov. 24 **Emergent Approaches to Public Governance and Management: Mixed Institutions, Collaboration, Globalization, and Sustainability**

In the past two decades, there have been many key developments in public governance and management that transformed the way we study and practice public administration. Koppell outlines several of these key developments—the rise of mixed institutions, the growing importance of market mechanisms, and the assertion of global regulation. Fiorino discusses how sustainability issues relate to environmental, economic, and political/social systems, and why the concept of sustainability ought to be a key focus of public administration. Gergen and Kellerman address the leadership skills our public managers need to function effectively in the 21st century. The IBM report calls attention to the powerful influence and opportunities of the internet. Based on these reading materials, how would you characterize as the key issues confronting contemporary approaches to public administration?
One of the major themes of administrative reform worldwide in the past two decades has been the introduction of more competition and market-like arrangements in public service delivery. What are some of the major institutional alternatives? What criteria can we use to evaluate these alternatives? What are the potential and limitations of these alternatives?


Video: “Public Schools, Inc.”

Session no. 15 Friday Dec. 12 2:00 to 4:00 p.m. Final Examination 2-4 p.m.

Appendix 1

Guidelines for Preparing Team Presentations

1. Each member of the team should read all the assigned readings for the week.

2. The team should meet only after every member has done his/her reading.

3. The team should collectively decide on 10 key ideas it has about the readings. Each key idea should be spelled out in no more than 2 or 3 (complete) sentences. While the team may elaborate on and add examples to each idea verbally during the presentation, all 10 key ideas must be fitted into one printed page. Each team is responsible for making copies for the entire class.

4. When developing these key ideas, the team may consider these issues:
   a. What are some common themes that come across in most or all of the readings for the week?
   b. How do some of the theories/examples you learned from the readings relate to your own professional experience?
   c. Can you think of other examples/cases that may support or contradict the arguments raised in the readings?
   d. If you want to remember only 3 or 4 key things from the set of readings, what would they be?
   e. Are there any gaps, inaccuracies, or other problems you see in any of the readings.

5. When developing your 10 key ideas, remember to avoid making your presentation a mechanical summary of each reading, one at a time. Each team member should be responsible for part of the presentation, but make sure that you avoid having each member summarize one particular reading. The key point of the presentation is not to do a mechanical and exhaustive summary of all the readings. Each team should spend no more than 20 minutes presenting the 10 key ideas.
6. After presenting the 10 key ideas, the team should raise 3 to 4 questions for discussion. Try to come up with questions that can trigger fruitful discussion in class. The team must get approval for the questions from the instructor before class.

7. The evaluation of your team presentation will be based on the following criteria:
   a. Thoughtfulness: creativity, insights, etc. (the key is to go beyond any mechanical summary) (4 points)
   b. Delivery, i.e., whether each team member explain the ideas clearly and effectively; whether presentation guidelines are followed (3 points)
   c. Quality of the discussion questions, and whether they trigger fruitful discussion (3 points).
Appendix 2

Issue Memo
(First draft due October 13 in class; final version due November 17 electronically through Blackboard and a hard copy due to me in class)

In the Case “The human side of privatization” (available from Blackboard), Jim Stuckey is the director of the Support Services Division in Blaze County. He is faced with a decision problem regarding the privatization of janitorial services for the county. You are an administrative assistant to Stuckey and are familiar with all the issues presented in the case. Stuckey asks you to write a memo (no more than five to six pages, single-spaced) that analyzes the issue and proposes a course of action for him.

Before you write the memo, you should read the article "Tradecraft: Writing and Analysis for Public Policy and Management" written by Juliet Musso, Bob Biller, and Bob Myrtle (which is available from Blackboard—click “Content”, and then “Resources for Preparing Issue Memo). You should prepare your memo according to the guidelines and principles discussed in the article. The sample student memo by Ian Patrick Kline (which is also available from Blackboard—click “Content”, and then “Resources for Preparing Issue Memo) will be also useful. You may adopt the format used in that memo to prepare your own issue memo for this assignment. But feel free to use any other format that can help you convey your ideas better.

You may assume all the information and data reported in the case as publicly available information, and you may use the information for your memo without specifically citing the case as your source. But you must avoid plagiarizing sentences and paragraphs directly from the case. Please make sure that you follow the guidelines listed in the "Guide to Avoiding Plagiarism" (see Appendix 4).

The first draft of your memo is due October 13. You will be given a chance to revise your first draft based on comments by the professor and “Tips for Revising the Memo” which will be distributed on October 13-14 after the first drafts are submitted. The final version is due November 17, and you must submit it as a hard copy in class and electronically through Blackboard.
Appendix 3
GUIDE TO AVOIDING PLAGIARISM
(source: http://www.usc.edu/student-affairs/student-conduct/ug_plag.htm)

Introduction
The following information, with minor modifications, is excerpted from the Student Guide to the Expository Writing Program (1996-97). Students should assume these general principles apply to all courses at USC unless an individual instructor gives explicit alternate instructions for his or her assignment.

By its very nature, writing involves both individual and collaborative activity. Even when a piece of writing has but one author, that author employs a language system that is shared with others and draws upon ideas and values that are not his or hers alone. Indeed, one of the most important parts of becoming a writer within the academic community is learning how to balance the obligations of individuality and collaboration. As a college writer, you are expected to use writing to develop and assert your own ideas and beliefs -- to think for yourself. But at the same time you are expected in college writing to engage the thinking of others, to place your own writing within the context of academic discourse by using or criticizing arguments from that discourse. This double obligation provides a framework in which to discuss plagiarism.

Plagiarism
Plagiarism is the unacknowledged and inappropriate use of the ideas or wording of another writer. Plagiarism undermines the intellectual collaboration -- the exchange of ideas -- that should mark academic discourse because it permits the writer to avoid any genuine involvement with the concepts or opinions of others. Because the false discourse of plagiarism corrupts values to which the university community is fundamentally committed -- the pursuit of knowledge, intellectual honesty -- plagiarism is considered a grave violation of academic integrity and the sanctions against it are correspondingly severe (sanctions recommended by the university range from a grade of "F" in the course to suspension from the university). Most simply, plagiarism can be characterized as "academic theft."

As defined in the University Student Conduct Code (published in the current SCampus), plagiarism includes:

- "The submission of material authored by another person but represented as the student's own work, whether that material is paraphrased or copied in verbatim or near verbatim form;"
- "The submission of material subjected to editorial revision by another person that results in substantive changes in content or major alteration of writing style;" and
- "Improper acknowledgment of sources in essays or papers." (§11.11)

Avoiding Plagiarism
Because of the serious penalties for plagiarism, you should insure that any writing you submit represents your own assertions and abilities and incorporates other texts in an open and honest manner. The best way to avoid plagiarism is to be careful to document your sources, even when you are only making use of data
or ideas rather than an actual quotation. In academic assignments, writing is assumed to be the original words and thoughts of the student unless told otherwise (i.e.: material from other sources is clearly and properly cited).

When to Document Outside Sources

Example 1
Repeating Another's Words Without Acknowledgment

Original Source
The television commercial is the most peculiar and pervasive form of communication to issue forth from the electric plug....The move away from the use of propositions in commercial advertising began at the end of the nineteenth century. But it was not until the 1950's that the television commercial made linguistic discourse obsolete as the basis for product decisions. By substituting images for claims, the pictorial commercial made emotional appeal, not tests of truth, the basis of consumer decisions.

Plagiarized Version
(essentially verbatim)
Television commercials have made language obsolete as a basis for making decisions about products. The pictorial commercial has substituted images for claims and thereby made emotional appeal, rather than tests of truth, the basis of consumer decisions.

Although the writer has changed, rearranged, and deleted words in the version above, the text is essentially the same as the original source. In paraphrasing, you take the writer's ideas and put them in your own words. It is not a process of substituting synonyms or rearranging the order of words. Even if the version above gave credit to Postman for his ideas, the passage would be considered plagiarized.

Correctly Paraphrased and Documented Version
Postman argues that television commercials do not use language or "test of truth" to help viewers decide whether to buy a product. Instead, they relay on images to create an emotional appeal that influences consumers' decisions (127-128).

In the correctly paraphrased and documented version above, most of the ideas have been paraphrased or restated in the writer's own words. Quotation marks have been placed around a key phrase that is taken directly from the original source. In addition, the name of the author refers readers to a corresponding entry in the Works Cited page, and the page number indicates the location of the information in the source cited.

Example 2
Presenting Another Writer's Argument or Point of View Without Acknowledgment

Original Source
The changes in larger society, as well as their reverberations in the family, call into question basic assumptions about the nature of American society, it family arrangements, and Americans themselves. A "Cultural struggle" ensues as people debate the meaning of change. One of these periods of cultural upheaval occurred in the early decades of the nineteenth century; a second occurred in the decades just before and after the turn of the twentieth century. For the last thirty years, we have been living through another such wave of social change.

Three related structural changes seem to have set the current cycle of family change in motion: first, the shift into a "postindustrial" information and service economy; second, a demographic revolution that not only created mass longevity but reshaped the individual and family life course, creating life stages and
circumstances unknown to earlier generations; third, a process I call "psychological gentrification," which involves an introspective approach to experience, a greater sense of one's own individuality and subjectivity, a concern with self-fulfillment and self-development. This is the change misdiagnosed as narcissism.

**Plagiarized Version**
Three periods of cultural upheaval in the nineteenth and twentieth centuries have caused major changes in American society. The first occurred during the beginning of the nineteenth century, the second during the decades before and after 1900, and the third has been underway for the last thirty years. Three structural changes occurring during the current upheaval are primarily responsible for changes in American families. These include the development of a postindustrial information and service economy, demographics changes (including longer life spans that have created new and different life stages), and an increased sense of individuality including a desire for self-fulfillment and self-development.

The writer of the passage above correctly paraphrases Skolnick's ideas but does not give her credit for her ideas or line of argument. The version below eliminates the plagiarism by attributing the ideas to Skolnick.

**Correctly Documented Version**
According to Skolnick, three periods of cultural upheaval in the nineteenth and twentieth centuries have caused major changes in American society. The first occurred during the beginning of the nineteenth century, the second during the decades before and after 1900, and the third has been underway for the last thirty years. Three structural changes occurring during the current upheaval are primarily responsible for changes in American families. These include the development of a postindustrial information and service economy, demographics changes (including longer life spans that have created new and different life stages), and an increased sense of individuality including a desire for self-fulfillment and self development (11).

In the version above, a reader would be able to locate the source by finding the title of Skolnick's book in the Works Cited page and looking on page 11, the number indicated at the end of the paragraph.

**Example 3**
**Repeating Another Writer's Particularly Apt Phrase or Term Without Acknowledgment**

**Original Source**
Three related structural changes seem to have set the current cycle of family change in motion: first, the shift into a "postindustrial" information and service economy; second, a demographic revolution that not only created mass longevity but reshaped the individual and family life course, creating life stages and circumstances unknown to early generations; third, a process I call "psychological gentrification," which involves an introspective approach to experience, a greater sense of one's own individuality and subjectivity, a concern with self-fulfillment and self-development. This is the change misdiagnosed as narcissism.

**Plagiarized Version**
The large number of "self-help" books published each year attest to Americans' concern with self-improvement and achieving more fulfilling lives. This process might be described as "psychological gentrification."

**Correctly Documented Version**
The large number of self-help books published each year attest to Americans' concern with self-improvement and their desire to have a more fulfilling life. Skolnick labels this process as "psychological gentrification" (11).
As the example above illustrates, putting quotation marks around a borrowed word or phrase is not sufficient documentation. You must also acknowledge the author and give the page numbers so a reader would be able to consult the original source and locate the word or phrase. In the original source, Skolnick takes credit ("a process I call") for coining the term "psychological gentrification." Quotation marks in the original appear to be used for emphasis. Phrases in quotations should be cited unless they have become common usage (e.g., "postindustrial" in the original source above).

Summary
Students should be aware that the above information addresses general standards taught by the Expository Writing Program concerning plagiarism and citation of sources. Individual instructors in all university courses may specify additional requirements for their assignments, and the instructor responsible for an assignment should be consulted when students have questions regarding standards for that assignment.

Resources

Your professor.
Instructors may require more specific standards for documenting source materials in written assignments. Any questions or uncertainty about citation should be addressed to the instructor for the course, either during established office hours or by arrangement.

The Writing Center.
Part of the Expository Writing Program, the Writing Center (THH-310, 740-3691) offers tutoring for writing papers and improving writing skills for students at all levels.

SCampus.
All students should have received a copy of this student guidebook which contains the Student Conduct Code, other policies applicable to students, and information about university resources available to assist students in their pursuit of academic success. The SCampus is available in printed form at Topping Student Center.

Return to Student Conduct homepage

Office for Student Conduct
FIG-107
740-6666

last modified 1/21/98
by Robert Schnereger schnereg@stuaff1.usc.edu
PAdm 710: Public Sector Organizational Theory and Behavior

3 Credit Hours

Instructor:
Sam Yeager

Prerequisite:
None

Course Objectives:

- To develop an understanding of public management theories, behavior, processes and problems.
- To gain an understanding of administrative behavior and the impacts of the political environment on public administration.
- To develop analytic skills through experiential learning opportunities including case analyses, simulations, research assignments, short papers, oral presentations, debates, flowcharting, and the use of video media.
- To develop your analytic skills finding, assessing and utilizing materials in journal and Internet sources.
- To develop your written and oral communications skills.

Course Description:
Reviews the scope of the field of public administration, including a survey of key concepts and schools of thought underlying the field, and examines issues shaping the future development of the field.

Major Topics Covered:

- Overview & History of Public Administration in the United States
- Classical Administrative Theory & Organization Structure
- Neoclassical Organization Theory / Hawthorne Studies: Impacts and Critique
- Motivation Theories and Critique
- Groups, Group Processes, and Group Behavior
- Leadership 1 - Functional Studies and Contingency Theories
- Leadership 2 – Leadership Cases
- Organizational Communication
- Power / Influence, Organizational Politics
- Values, Professionalism and Ethics, New Public Administration/New Public Management
- Analytic Use of Information: Work Processes and Flowcharting
- E-Government
- IT Management Issues
- In Defense of Bureaucracy - Video Presentations

Typical Textbooks and Readings:

Books:
Articles and other readings:
Other required materials for this class will be provided as handouts (available on BlackBoard) and occasionally students will be asked to find appropriate materials using the sources available through the WSU library and the Internet. Examples include:

- “Active Listening”
- “Applying Flowcharts to Improve Service in the Public Sector”
- “Bureau Men and Settlement Women”
- “[E-Government] Bureaucratic, Fiscal, and Political Contexts”
- The Case for Bureaucracy (Selections from)
- “Citing Materials from the World Wide Web”
- “Classical Organization Theory”
- “A Conceptual Model Exploring the Dynamics of Government-Nonprofit Service Delivery”
- “The Content of American Government Websites”
- “Counselors: Identification of Tech Prep Students”
- “Creating an Ethical Work Environment”
- “Defensive Communication”
- “Denying Public Value: The Role of the Public Sector in Accounts of the Development of the Internet”
- “Divide and Conquer: There’s No Excuse for Turning a Blind Eye to the Digital Divide”
- “Does Professionalism Really Matter?”
- “Dysfunctional Consequences of Performance Measurements”
- “E-Government Effective Communication”
- “Effects of an Employee Volunteering Program on the Work Force”
- “Electronic Democracy Diffusion of Municipal Web Pages in California”
- “Electronic Government at the Local Level: Progress to Date and Future Issues”
- “Emerging Issues in Government Information Management”
- “Ethics and Digital Government”
- “Ethics Management in Cities and Counties”
- “Everyday Ethics”
- “Feedback and Administrative Behavior in the Public Sector”
- “A Framework for Ethical Decision Making”
- “Giving, Volunteering, and Mistrusting Government”
- “The GFOA and Professionalism in Local Government”
- “Growth, Transformation, and Quiet Revolution in the Nonprofit Sector Over Two Centuries”
- “The Hidden Costs of Organizational Dishonesty”
- “The Hocus-Pocus of Reengineering”
- “ICMA Code of Ethics”
- “Informal Organizations and Their Relations to Formal Organizations”
- “Information Technology and Organizational Change in the Public Sector”
- “The Importance of Pay in Employee Motivation”
- “The Internet Revolution”
- “Knowledge Management: Gathering, Organizing, and Using Information”
- “The Life Cycle of Bureaus”
- “The Link Between Organizational Ethics and Job Satisfaction”
- “Logic Models: A Systems Tool for Performance Management”
- “Making Manufacturing More Effective by Reducing Throughput Time”
- “On the Folly of Rewarding A, While Hoping for B”
“Organization as Overlays”
“The Promise of Digital Government”
“Public Administration and the Paradox of Professionalism”
“Scope, Causes, and Consequences of Electronic Government”
“Managing Information Strategically”
“Motivating Employees in a New Governance Era”
“The Motivational Bases of Public Service”
“The Myth of the Dichotomy”
“Perception and Attribution Biases”
“Professionalism vs. Democracy: Friedrich vs. Finer Revisited”
“There’s Only Ethics”
“Transforming Government with Technology”
“IT in Government: Learning What Works”
"The Need for Strategic Information Systems Planning When Contracting-Out and Privatizing Public Sector Functions"
“The New Public Management”
“Professionalism among Public and Nonprofit Managers”
“The Sounds of Silence”
“Strategic Use of the News Media”
“A Structural Analysis of Behavior in Work Situations Shared By Group Members”
“The Study of Administration”
“The Taboo on Reporting Offers of Bribes”
“Technology, Organizations and People”
“What Do They Know and Whom Do They Hold Accountable? Citizens in the Government-Nonprofit Contracting Relationship”
“What’s New about the New Public Administration?”
“When Goals Are Counterproductive”
“Work Flow Charting” (with examples)
“Work Simplification: Flow Process Chart”
School of Public and Environmental Affairs
Indiana University - Purdue University Indianapolis

SPEA-V 517 (25224): Public Management Economics (3 cr.)

Instructor: Jerome Dumortier
Time and Location: Monday 6:00 pm – 8:40 pm in BS 2008
Office and Contact: BS 4074, Phone: (317) 274-1817, Email: jdumorti@iupui.edu
Office Hours: Monday 4:45 – 5:45 pm, Tuesday 4:45 – 5:45 pm, and Friday 8:45-10:45 am.

Course Bulletin Description
This course focuses on applications of the principles and concepts of intermediate microeconomic theory and managerial economics to public sector management decisions and policy analysis. The course utilizes case studies to give students opportunities to recognize the economic dimensions inherent in the public policy problems and to develop an analytical problem-solving orientation.

Course Objective
The purpose of this course is to teach you the concepts of microeconomic theory. In general, economics studies the allocation of scarce resources. Consumers (you and me), firms, and governments face limited resources and must decide how to best allocate those resources to achieve a certain goal. In doing so, those actors interact with each other. This interaction of individual economic agents is the subject of microeconomics. On a daily basis, you are confronted with situations that can be analyzed with economic models, e.g., buying insurance, saving money for retirement, or deciding how much time to spend studying for an exam. At the end of this course, I want you to be able to analyze and think critically about those situations from an economic perspective. What you learn in this class is applicable to private, public and non-profit sector decisions, policy analysis as well as your daily life. The economic perspective of private and public decision making is an important consideration to practitioners and professionals in analyzing real world problems.

Roughly speaking, there will be four large parts in this class. We start off with analyzing how consumers allocate a fixed amount of income to different goods. In a second part, we will investigate how firms act and how they are driven by profit maximization. The third part covers the interaction between consumers and firms in the market. The concepts that we learn in the third part are most in line with what people call the “supply and demand”. In the fourth part, we will see why market failure occurs. The problem with the free market is that it works only under certain conditions. If we have externalities, asymmetric information, or market power, etc., the free market leads to an inefficient allocation of resources. Those issues and possible remedies will cover a large part of the course during the second half of the semester.

You will be confronted with a significant amount of information during this course. I will provide you with ample opportunities to learn the material. The homework assignments and the case studies will be important to understand and absorb the class material. The case studies give you the opportunity to recognize the economic dimensions inherent in the public policy problems and to develop an analytical problem-solving mindset. Note that there is almost no learning by
heart in this class, i.e., you do not have to memorize definitions or equations. I want you to understand the concepts and be able to apply them.

Economics relies heavily on mathematics to structure and model the real world. This course will use a good amount of mathematics and it is highly recommend refreshing your memory on algebra if necessary. You have seen all the mathematics used in this class before and there are no new concepts. I do understand that you might have forgotten some of the concepts and thus, I will go over any mathematical concepts used in class in detail.

I recommend a review of basic math skills: how to graph $y$ against $x$ and how to determine and interpret the slope of a line; how to do unit analysis, e.g., 8 hours x 5.15 dollars/hour = 41.20 dollars; and how to compute a percent change, e.g., 1,600 gallons decreasing to 1,400 gallons is a -12.5% change.

**Recommended Textbook and Online Resources**
The recommended textbook for this class is *Intermediate Microeconomics: A Modern Approach* (8th Edition) by Hal R. Varian (ISBN: 978-0-393-93424-3). You can get earlier editions as well which is much cheaper. The book serves as a reference for the material presented in class. Lecture notes, assignments and all other material for this class can be found at [https://canvas.iu.edu](https://canvas.iu.edu). Note that it will not be sufficient to download the lecture notes and study them without having attended the class. The slides are no substitutes to attending lectures. There will be a lot of information during the class lectures that is not in your book and this information will be asked on exams.

**Evaluation**
There will be one midterm exam (20% of final grade) and one final exam (30% of final grade). All exams are closed book and closed notes. The midterm examination is scheduled for October 13th, 2014 during regular class time. The final exam will be comprehensive. The material covered in class, the lecture notes, the book, homework assignments, and case studies are fair game for the exams. There are 8 homework assignments (25% in total) during the semester and three case studies (25% in total) that apply the material learned in class. The case studies are due electronically via email to jdumorti@iupui.edu. The three cases provide students with practical applications of the tools taught in this course to real policy issues. Your lowest homework score will be dropped.

**Grading Scale**
If $x$ is your class score, then the following grading scale applies:

<table>
<thead>
<tr>
<th>$x$</th>
<th>A+</th>
<th>90%&gt; $x$ ≥ 87%</th>
<th>B+</th>
<th>80%&gt; $x$ ≥ 77%</th>
<th>C+</th>
<th>70%&gt; $x$ ≥ 67%</th>
<th>D+</th>
</tr>
</thead>
<tbody>
<tr>
<td>97% &gt; $x$ ≥ 93%</td>
<td>A</td>
<td>87%&gt; $x$ ≥ 83%</td>
<td>B</td>
<td>77%&gt; $x$ ≥ 73%</td>
<td>C</td>
<td>67%&gt; $x$ ≥ 63%</td>
<td>D</td>
</tr>
<tr>
<td>93% &gt; $x$ ≥ 90%</td>
<td>A-</td>
<td>83%&gt; $x$ ≥ 80%</td>
<td>B-</td>
<td>73%&gt; $x$ ≥ 70%</td>
<td>C-</td>
<td>63%&gt; $x$ ≥ 60%</td>
<td>D-</td>
</tr>
</tbody>
</table>

Anything below 60%, i.e., $x$<60%, results in the grade “F”.

**Canvas**
This course will be using the new course management system called Canvas [https://canvas.iu.edu](https://canvas.iu.edu) that was adopted by Indiana University. Do not use oncourse for any business related to this class!

**General Items**
I really like teaching and I am very passionate about economics (if this wasn’t true, I’d be miserable with my job). Below is a list of items and suggestions that I would like you to keep in mind. For 9 out of 10 students, the items on this list are common sense and reflect good manners. Unfortunately, I had (very few) students in the past whose behavior forced me to explicitly state my expectations in the syllabus. My colleague, Professor Kenna Quinet, was kind enough to share her code of conduct with me. So the items you see below are a mix of her and my ideas of how students should conduct themselves in a university environment. The following suggestions may help us avoid any confusion as the semester progresses.

- Turn off your phones. Do not let it make ring or vibrate during class. This behavior is rude towards your classmates and me.
- Do not be late. You should plan in advance for traffic, parking, and other possible delays. In the event that you are late, come into the classroom quietly and take your seat. Do not walk across the front of the classroom and do not bother your classmates to try to catch up. I do go over the homework solutions at the beginning of class. Do not expect me to hand you back your homework until the end of the class when you are late.
- You do not have to call me and leave messages (including email) about why you cannot attend class unless it is an exam day. Absence from class is your issue and you should contact someone in class to get notes. Do not come to my office hours and expect a private mentoring session on the lecture material you missed.
- Please note that there will be no make-up exams except for medical reasons, school sponsored events, jury duty, family death, and military duty. In any case, you have to notify me in advance if you are going to miss an exam. I need written documentation from a physician in the case of a medical problem and a note from your advisor in all other cases. You will not be able to schedule a make-up exam without written documentation. Do not make me ask for the documentation. If you have a legitimate excuse for being absent on an exam date, please see me in advance of the exam (with documentation) and you may be able to take the exam early. Do not ask to take an exam early because you booked a vacation without checking the syllabus first. If you are sick on an exam day and have a doctor’s excuse to miss the test, you must call me and tell me you are going to miss the exam ahead of the exam time. Do not sit in class and listen to us talk through the exam and then come up after that class and tell me you need to take the exam. If you are late to an exam, you do not get extra time at the end. If you are so late that other students have already left the exam you will not be allowed to begin the exam, you will get a zero unless you have a verifiable emergency for why you were so late.
- Cheating will be met with the most severe penalties allowed by the University.
- Please do your homework neatly and staple it. If you know in advance that you are going to miss a class on the due date of homework, you can drop your assignment in my mailbox outside BS 4032. You can also scan your homework and send it via email to me. A score of 0 applies after the due date and time. This policy will be strictly enforced because it would be unfair to other students who turn in their homework on time. It is your obligation to present proof of submission if there is any question about whether the homework was sent.
• I encourage you to come to office hours if you have questions, comments, and concerns. Do not come to office hours and solve the homework in front of me. This is unfair to other students.
• I strongly prefer if you use my email address, i.e., jдуморти@iupui.edu, for communication instead of Canvas. It is much more convenient and you get a quicker response. Note that it is university policy that you have to use your official university account for communication with me. If you send me an email from a non-university account, e.g., Gmail, Yahoo, etc., I will respond to your IU/IUPUI account. Do not send me a message on canvas after the end of the semester. Always use my email.
• I am more than happy to discuss your educational, professional and career objectives.
• There is no extra credit in this class.

Schedule

<table>
<thead>
<tr>
<th>Week</th>
<th>Date</th>
<th>Lecture</th>
<th>Reading</th>
</tr>
</thead>
<tbody>
<tr>
<td>Week 1</td>
<td>25-Aug</td>
<td>Lecture 1 – Introduction</td>
<td>Chapter 2</td>
</tr>
<tr>
<td>Week 2</td>
<td>1-Sep</td>
<td>No class</td>
<td></td>
</tr>
</tbody>
</table>
| Week 3 | 8-Sep    | Lecture 2 – Consumer Theory | Chapter 3 (skip “Bads”, “Neutrals”, Satiation”, and “Discrete Goods” in section 3.4; skip section 3.5)  
|         |          |               | Chapter 4 (skip section 4.1)  
|         |          |               | Chapter 5 (skip “Neutrals and Bads”, “Discrete Goods”, “Concave Preferences” in section 5.3, skip section 5.4)  
|         |          |               | Chapter 6 (skip 6.2 and 6.6) |
| Week 4 | 15-Sep   | Lecture 3 – Producer theory | Chapter 18 (skip 18.4)  
|         |          |               | Chapter 19 (skip 19.2-19.4, 19.9, and 19.11) |
|         |          | Homework 1 “Consumer Theory” due | |
| Week 5 | 22-Sep   | Lecture 4 – Cost theory | Chapter 20 (skip 20.2)  
|         |          |               | Chapter 21 (skip 21.4)  
|         |          |               | Chapter 22 |
|         |          | Homework 2 “Producer Theory” due | |
Week 6: 29-Sep  Lecture 5 – Supply, demand, and elasticities
Reading:
- Chapter 14 (read only 14.7 and 14.9)
- Chapter 15 (skip 15.3 and 15.4)
- Chapter 16 (skip 16.6 - 16.8 for now)

**Homework 3 “Cost Theory” due (note that this homework consists of an online submission and a paper submission in class)**

Week 7: 6-Oct  Lecture 6 – Perfect competition and market intervention
Reading:
- Chapter 16 (16.6-16.8)
- Chapter 23 (skip 23.11 for now)

**Homework 4 “Supply and Demand” due**

**Week 8: 13-Oct  MIDTERM EXAMINATION**

Week 9: 20-Oct  No class

Week 10: 27-Oct  Lecture 7 – Imperfect competition: Monopoly
Reading:
- Chapter 24
- Chapter 25 (skip 25.5-25.10)

**Homework 5 “Perfect Competition”**

Week 11: 3-Nov  Lecture 8 – Imperfect Competition
Reading:
- Chapter 27

**Case Study 1 “Profit Maximization for a Non-Profit” due**

Week 12: 10-Nov  Lecture 9 – Game theory
Reading:
- Chapter 28
- Chapter 29 (skip 29.1, 29.2, 29.4, and 29.7)

**Homework 6 “Imperfect Competition” due**

Week 13: 17-Nov  Lecture 10 – Externalities and public goods
Reading:
- Chapter 23.11
- Chapter 34 (skip 34.1, 34.2)
- Chapter 36 (skip 36.8-36.11)

**Homework 7 “Game Theory” due**
Schedule (continued)

Week 14: 24-Nov
Lecture 10 – Externalities and public goods (continued)
Reading
• Chapter 37 (skip 37.7)

Case Study 2 “Cap-and-Trade” due

Week 15: 1-Dec
Lecture 11 – Asset markets, uncertainty, and risky asset
Reading:
• Chapter 11
• Chapter 12
• Chapter 13

Case Study 3 “Parks and Recreation” due

Week 16: 8-Dec
Lecture 12 – Intertemporal decision making
Reading:
• Chapter 10

Homework 8 “Externalities and Public Policy” due

Week 17: 15-Dec
Review Session

Week 18: 19-Dec
FINAL EXAM: Friday 6:00 – 8:00 pm, BS 2008

Syllabus Addendum: SPEA 2014 Policies

There are a number of campus-wide policies governing the conduct of courses at IUPUI. These can be found at http://registrar.iupui.edu/course_policies.html. Additional information for SPEA courses is below.

Civility and Disorderly Conduct

SPEA, which is a professional school, expects students to conduct themselves in a courteous and civil manner in interactions with professors and fellow students. This requires each person to be courteous, tolerant, and respectful during interactions with one another in all interactions, including face-to-face interactions, e-mail, and telephone conversations. Examples of discourteous behavior during class include reading the newspaper, working crossword puzzles, listening to headphones, talking or laughing with other, arriving late, using computers to surf the web, allowing cell phones to ring or sending text messages, or other non-class activities. The use of language, tone, or gestures that are inappropriate or offensive is also discourteous. These behaviors are not acceptable, and SPEA faculty and staff will address these problems as they arise either in class or on an individual basis.

Disorderly conduct that interferes with teaching, research, administration, or other university or university-authorized activity will not be tolerated and will be reported immediately to the Office of the Dean of Students for disposition, which may result in disciplinary action,
including possible suspension and/or expulsion from the university. Responsibilities and expectations of students and faculty can be found at http://registrar.iupui.edu/misconduct.html.

Academic Misconduct

Students are responsible for upholding and maintaining academic and professional honesty and integrity (IUPUI Code of Student Rights, Responsibilities, and Conduct, available at http://www.iu.edu/~code/, Part II Student Responsibilities, G).

Plagiarism is the most common academic misconduct violation, and some students, who have been disciplined for plagiarism, have said they were not aware that they had plagiarized their work. Be aware that 'not knowing' does not excuse academic misconduct – every student is responsible for knowing the rules. The IU School of Education’s ‘How to Recognize Plagiarism’ is an on-line tutorial that can help you avoid plagiarism. It can be accessed at http://www.indiana.edu/~istd/. If you have any questions about what constitutes academic misconduct for a course you are taking, be sure to ask the instructor for an explanation.

All faculty have the responsibility of fostering the “intellectual honesty as well as the intellectual development of students” and part of this responsibility means that faculty must investigate cases of potential academic misconduct promptly and thoroughly. Faculty members also have the responsibility of taking appropriate action when academic misconduct occurs. The penalties for academic misconduct include but are not limited to lowering a grade on an assignment, lowering a course grade, or failing a student for a course. Significant violations of the Code can result in expulsion from the University.

SPEA faculty take their responsibilities seriously and do not tolerate cheating, plagiarism, or any other form of academic misconduct. If you have not done so, you should read about your responsibilities in the IUPUI Code of Student Rights, Responsibilities, and Conduct to ensure that you understand what these terms mean and what penalties can be issued for academic misconduct.

The IUPUI Code of Student Rights, Responsibilities, and Conduct defines four areas of academic misconduct: cheating, fabrication, plagiarism, and interference. The prohibited activities and actions include the following:

1) Cheating. A student must not use or attempt to use unauthorized assistance, materials, information, or study aids in any academic exercise, including, but not limited to, the following:
   a) A student must not use external assistance on any "in-class" or "take-home" examination, unless the instructor specifically has authorized external assistance. This prohibition includes, but is not limited to, the use of tutors, books, notes, and calculators.
   b) A student must not use another person as a substitute in the taking of an examination or quiz.
   c) A student must not steal examinations or other course materials.
   d) A student must not allow others to conduct research or to prepare work for him or her without advance authorization from the instructor to whom the work is being submitted. Under this prohibition, a student must not make any unauthorized use of materials obtained from commercial term paper companies or from files of papers prepared by other persons.
e) A student must not collaborate with other persons on a particular project and submit a
copy of a written report which is represented explicitly or implicitly as the student's
individual work.
f) A student must not use any unauthorized assistance in a laboratory, at a computer
terminal, or on field work.
g) A student must not submit substantial portions of the same academic work for credit or
honors more than once without permission of the instructor to whom the work is being
submitted.
h) A student must not alter a grade or score in any way.

2) Fabrication. A student must not falsify or invent any information or data in an academic
exercise including, but not limited to, records or reports, laboratory results, and citations to
the sources of information.

3) Plagiarism. A student must not adopt or reproduce ideas, words, or statements of another
person without appropriate acknowledgment. A student must give credit to the originality of
others and acknowledge an indebtedness whenever he or she does any of the following:
a) Quotes another person's actual words, either oral or written;
b) Paraphrases another person's words, either oral or written;
c) Uses another person's idea, opinion, or theory; or
d) Borrows facts, statistics, or other illustrative material, unless the information is common
knowledge.

4) Interference.
a) A student must not steal, change, destroy, or impede another student's work. Impeding
another student's work includes, but is not limited to, the theft, defacement, or mutilation
of resources so as to deprive others of the information they contain.
b) A student must not give or offer a bribe, promise favors, or make threats with the
intention of affecting a grade or the evaluation of academic performance.

Communication between Faculty and Students
In order to verify the identity of all parties involved, effective September 1, 2004, all email
communication from current SPEA students to SPEA staff must originate from an Indiana
University email account. For email communication with SPEA faculty, current SPEA students
should refer to course syllabi for instructors’ preferences (canvas, Webmail, etc.). This policy
applies to current students only. Instructions for forwarding your IUPUI email to another account
can be found at http://uits.iu.edu/scripts/ose.cgi?berh.def.help.

Students Needing Support From Counseling and Psychological Services
SPEA encourages any student who has concerns about their personal welfare to seek assistance
with the professionally trained counselors of the IUPUI Counseling and Psychological Services
(CAPS). CAPS provides direct professional psychological services, including crisis response,
counseling, assessment and referral to all IUPUI students. More information can be found at
http://studentaffairs.iupui.edu/health-wellness/counseling-psychology/index.shtml.

Students Needing Support From Adaptive Educational Services
Students needing accommodations because of a disability will need to register with Adaptive
Educational Services (AES) and complete the appropriate forms issued by AES before
accommodations will be given. The AES office is located in Taylor Hall, UC 100. You can also reach the office by calling 274-3241. Visit http://aes.iupui.edu/ for more information.

Students Called to Active Duty
SPEA encourages any student who is in the Indiana Military Reserves and is called to active duty to finish his/her coursework if at all possible. Students who cannot complete their courses have the option of withdrawing with 100% fee refund, but this request must be made within one week of being called to active duty. Students who are called to active duty may qualify for an incomplete (provided that all the above criteria have been met). For further information, please see the Office of the Registrar’s website at http://veterans.iupui.edu/practices/withdrawal.php.

FLAGS System
SPEA faculty will be using IU’s FLAGS System (Fostering Learning, Achievement, and Graduation Success) to provide real-time feedback on student performance in the course. Periodically throughout the semester, data on factors such as class attendance, participation, and success with coursework, etc. will be entered with suggestions on ways to improve performance. Students may access this information in the student center: Onestart > Student Services page > Student Center > My Academics and Grades > My Grades.

Administrative Withdrawal (AW)
If this class is utilizing the Administrative Withdrawal (AW) Policy, a student could be withdrawn from the class if they miss more than half of the required class activities within the first 25% of the course. More information can be found in the attendance and/or assessment portion of the syllabus if this policy is being used.

Course Withdrawals
Students who stop attending class without properly withdrawing from the class will receive a grade of F. It is important to withdraw from a course within specified timeframes (see chart below). Note that withdrawals after Week 12 of a regular session or Week 4 of a summer session are rarely granted. Poor performance in a course is not grounds for a late withdrawal.

Withdrawal forms will not be processed in the Office of the Registrar after the last day of classes. Any requests for a late withdrawal after the last day of classes must go through the grade appeal process, but each student should remember that in accordance with campus policy, SPEA does not permit a student to withdraw from a course if he/she has completed the course requirements. Grade replacement should be used in this case. See the Office of the Registrar’s website at http://registrar.iupui.edu/withdraw.html for more information. To withdraw, obtain a withdrawal slip (DROP/ADD Form) from the SPEA Student Services window. Instructions for completing it are given on the form.

<table>
<thead>
<tr>
<th>Withdrawal Deadlines</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Course deleted from record, no grade assigned, 100%</td>
<td>Week 1 (last day)</td>
</tr>
<tr>
<td>refund (Advisor signature IS NOT required)</td>
<td></td>
</tr>
<tr>
<td>Withdrawal with automatic grade of W</td>
<td>Week 2 – Week 7 (regular session)</td>
</tr>
<tr>
<td>(Advisor signature IS required)</td>
<td>Week 2 – Week 3 (summer session)</td>
</tr>
</tbody>
</table>
Withdrawal with grade of W or F  
(Advisor and instructor signatures ARE required)  
Week 8 – Week 12 (regular session)  
Week 3 – Week 4 (summer session)

Incompletes
A grade of incomplete (I) indicates that a ‘substantial portion’ of the work in a course has been satisfactorily but not entirely completed by the student as of the end of the semester. The incomplete can be given to a student facing a hardship such that such that it would be unjust to hold the student to the established time limits for completing the work. To be eligible for the incomplete in a SPEA course, the student’s work must be of passing quality, and the student must have completed 75% of the course requirements. Poor performance in a course is not grounds for an incomplete. SPEA follows the campus guidelines, which may be accessed at the Office of the Registrar’s website at http://registrar.iupui.edu/incomp.html, in awarding incompletes. Incompletes must be removed within a time period not to exceed one year after the semester in which the student was enrolled in the course. The incomplete will revert to an ‘F’ if the work is not completed within the allotted timeframe established by the instructor.

Grade Changes
Under certain circumstances, students can seek grade changes for previously taken courses if they believe that a grade has been calculated or assigned incorrectly. A student who is seeking a grade change must first contact the instructor and ask for the grade change. In the event the instructor does not change the grade, the student can file a Change of Grade Petition with the Registrar’s Office. In SPEA, a student has 90 days after the conclusion of a course to appeal a grade. In cases of extenuating circumstances, SPEA may consider petitions filed after this date. SPEA will review the request and make a final decision on a case-by-case basis. The Change of Grade petition form is located at the Office of the Registrar’s website at http://registrar.iupui.edu/grdfrm.html.

Final Exam Schedule
If a final exam is given, it must be held on the day and time set in the final exam schedule. If an instructor has changed the final exam date, the student should first consult with the instructor. Students who have more than three final exams in one day or insufficient time to get from one exam to another should consult with their instructors to resolve these conflicts. If a student is not able to resolve a final exam problem with the instructor, the student may report the problem to the Director of the program. Tests or major writing assignments may not be required during the week before the formal final exam week unless assigned or announced at the beginning of the semester. See the Office of the Registrar’s website at http://registrar.iupui.edu/final-policy.html for the policy and final exam week schedule.

Note: This syllabus is tentative and subject to change.
Course Description:

This graduate course will develop economic tools for the analysis of economic welfare and public policy. The course will then focus on using those tools to understand consumer behavior, firm behavior and the government’s role the economy.

Course Objectives:

After successful completion of this course, students will be able to:

• Use supply and demand analysis to analyze the effects of policy
• Use consumer and producer surplus to analyze the effects of policy
• Use indifference curves to analyze the effects of policy
• Calculate and interpret price and income elasticities
• Understand and interpret the relationship between average cost, marginal cost, and supply
• Determine the incidence of taxes and subsidies
• Discuss the necessary conditions for perfect competition and the welfare effects of perfect competition.
• Analyze the effects of monopoly
• Analyze the effects of externalities and public goods

Course Prerequisites:

None

Course Requirements:

The final grade will be determined based on your performance in four key areas:

1. Homework assignments 15 percent
2. First Midterm Exam 25 percent
3. Second Midterm Exam 25 percent
4. Final Examination 35 percent

Homework:

Homework will be assigned periodically throughout the semester. All homework assignments will be graded, but as a general rule only a subset of the problems on any given assignment will be graded. Students may work together on homework assignments, but all assignments must be submitted in the student’s own handwriting and may not be copied from the work of another person, with or without that person’s permission.
Exams:

The exams will cover the material presented in class and the assigned readings. The midterms will be held during class on October 14th and November 20th. The final examination will be held on Tuesday, December 16th from 3:00 p.m. -5:00 p.m.. There will be no make-up exams without the written authorization of the Department Chair or Dean.

*The final examination is cumulative and will test your understanding of all materials presented during the entire semester.*

*Extra credit will not be offered. However, no student will receive a lower grade for the course than s/he receives on the cumulative final examination.*

Texts:

There is one required text for this course: *Microeconomics: Theory and Application*, by Edgar K. Browning and Mark A. Zupan. Either the tenth or the eleventh edition would be acceptable.

Final Grade:

Your final grade will be calculated and determined based on the course requirements as outlined below:

- **A** = 90-100%
- **B** = 80- 89%
- **C** = 70- 79%
- **D** = 60- 69%
- **F** = 0- 59%

However, *active* participation in classroom discussions can add as much as two percentage points when assigning course grades.

Important Reminders:

This is a graduate level course. Please review the attached essay, “On Graduate School,” for a refresher on the respective roles of students and faculty in graduate level work.

Student work in this course is expected to follow the guidance of the Aggie Honor Code: “An Aggie does not lie, cheat or steal nor tolerate those who do.” For more on the Aggie Honor Code, visit [http://aggiehonor.tamu.edu](http://aggiehonor.tamu.edu)

As commonly defined, plagiarism consists of passing off as one’s own ideas, the words, writings, music, graphs/charts, etcetera that were created by another. In accordance with this definition, you are committing plagiarism if you copy the work of another person and turn it in as your own, even if you have the permission of that person. It does not matter from where the material is borrowed—a book, an article, material off the web, another student’s paper—all constitute plagiarism unless the source of the work is fully identified and credited. Plagiarism is cheating and a violation of academic and personal integrity and will not be tolerated. It carries extremely serious consequences. *Copying another student’s homework will be considered plagiarism.*

The Americans with Disabilities Act (ADA) is a federal anti-discrimination statute that provides comprehensive civil rights protection for persons with disabilities. Among other things, this legislation requires that all students with disabilities be guaranteed a learning environment that
provides for reasonable accommodation of their disabilities. If you believe you have a disability requiring an accommodation, please contact Disability Services, in Cain Hall, Room B118, or call 845-1637. For additional information visit http://disability.tamu.edu.

Course Outline:

1. Introduction to Supply and Demand
   a. Consumer Surplus
   b. Producer Surplus
   c. Policy applications & government interventions
   Chapters 1 & 2
   Sections 4.5
   Section 10.1
   Sections 10.2 & 10.4

2. Behind the Demand Curve
   a. Preferences and Budgets
   b. Deriving Demand Curves
   c. More policy applications & government interventions
   Chapter 3
   Chapter 4
   Chapter 5

3. Gains from Trade
   Chapter 6
   Sections 10.5 & 10.6

4. Behind the Supply Curve
   Chapters 7 & 8

5. Competitive Markets & Policy Implications
   Chapter 9

6. Monopoly
   Chapters 11 & 12

7. Factor Markets
   a. Supply and demand for inputs
   b. Wages, rents and interest
   Chapter 16
   Chapter 17 & supplemental readings

8. Public Goods and Externalities
   Chapter 20

9. Macroeconomics and Monetary Policy
   supplemental readings
On Graduate School

*There is nothing quite as practical as a good theory.*

Kurt Lewin
20th century American social psychologist
1890 – 1947

Much of your undergraduate education has taught you how to answer questions, the answers to which you were previously given. In graduate school you will learn how to ask questions, and thereby to find answers to previously unanswered questions. The transition from answering questions to asking them is generally not an easy one.

At the Bush School the learning process is designed to prepare students to assume responsible leadership positions. While here you will learn about how to use (and not misuse) management and policy making theory and data in order to be more effective and ethical public servants. This journey begins with the core courses of Economics, Leadership, Policy Formation, and Quantitative Methods. Acquiring specific content knowledge is not the end, however; it is simply the foundation for graduate level work.

With content knowledge as background, students develop and practice the attitude of reflection that permits comprehension to inform practical action. It is this understanding that enables the formulation of questions and ultimately your independent search for answers.

The role of faculty

Bush School faculty members play a critical role in your graduate education through their support of your learning. Faculty members are responsible for developing course content including selecting readings, designing assignments, and setting standards of performance. They serve as role models and mentors for the graduate student body and continue to expand the intellectual capacity of the Bush School and Texas A&M University with their own research, committee work, and publications.

The privilege of serving on the TAMU graduate faculty is taken seriously. This is reflected in our teachers’ professional and scholarly activity and service to the university, to government and nonprofit organizations, and to the broader community of learning. Each faculty member is committed both to high academic standards and to your learning.

While its members share a strong commitment to students and learning, the faculty is diverse in its composition, experience, specialties, approaches to teaching, and in its opinions. The richness of your intellectual growth is enhanced by the differences you will see and experience.

The role of the student

Students come to the Bush School with a wide range of backgrounds and levels of preparation. You are well prepared for some graduate study and tasks and are not at all prepared for others. While our faculty stands ready to help you, it is you who will make decisions about how to approach the difficult task of learning to analyze, think, support your ideas, and to ask and answer questions. The responsibility for your growth and learning is yours.

Graduate school is your new job: you will likely spend 50-60 hours per week attending class, completing readings, conducting research, writing papers, preparing presentations and
discussions, and working problem sets. The configuration of the work varies: sometimes you will work alone, often you will work in teams to produce an assignment, mirroring the experiences you will most likely have in your professional career.

As a graduate student you will gain a great deal of experience in figuring things out. For example, your teachers will not tell you what you should remember or conclude from the readings – assignments are designed to help you develop your thinking skills, not to answer particular questions posed by the professor (although s/he will surely question you). You will be given guidelines by each professor, but you will rarely be given step-by-step instructions for assignments...your learning is your responsibility and graduate school offers the opportunity for you to practice learning in a setting which is both demanding and supportive. Although the content covered in your classes is important, it is only secondary to the critical thinking skills that you gain from studying and discussing this material. These skills will help you deal with the unfamiliar after you leave the Bush School.

Resources for your success are all around you at the Bush School. Faculty members will help you, administrative staff will help you, classmates and colleagues will help you. All TAMU resources are at your fingertips: on-line research capacity, writing instruction, student services, and technical resources. Yet you must decide to take advantage of all the richness of the university community in order to improve your grasp of an applied discipline in public service.

As Kant’s criteria of “systematic” understanding suggests, you are about to commence learning to look through the lens and to look at the lens. Welcome to graduate school!
The Economics of Race, Crime, and Law Enforcement

M-W 1:00PM - 2:15PM
Oct 27, 2015- Dec 16, 2015

Instructor: Samuel L. Myers, Jr.  
Office: 261 Humphrey Center  
301-19th Avenue South  
Minneapolis, MN 55455  
(612) 625-9821

TA: TBA
Office: 270 Humphrey Center  
301-19th Avenue South  
Minneapolis, MN 55455  
612-625-9821

Office Hours: Tuesdays 10:30 a.m. - Noon or by appointment

Email: myers006@umn.edu

Prerequisite: PA 5021 Economics for Policy Analysis and Planning I or equivalent, advanced policy analysis methods concentration, or instructor consent.

Optional Text:


Assignments, readings and lecture notes can be accessed via Moodle 2.6 (AY 2015-2016)

Note: Reasonable accommodations will be provided for students with physical, sensory, cognitive, systemic, learning, and psychiatric disabilities. Please contact the instructor or his assistant to discuss accommodations for this course.

Overview

This course has three objectives: a) to help students develop the skill of being able to read and interpret journal articles and technical reports in the domain of the economics of
crime and law enforcement; b) to provide guidance on how to use economic models to analyze racial and ethnic disparities in the criminal justice system; and c) to explore the strengths and weaknesses of the rational choice model for developing policies to address problems of race, crime and law enforcement.

There are many crime and law enforcement policy debates that hinge on economic modeling. Do body cameras reduce racial disparities in police use of deadly force? Do gun buy-backs, waiting periods, mandated gun designs (such as trigger locks), background checks, or high taxes on gun sales reduce violence? Do risk assessment protocols in child abuse and neglect investigations help to reduce the child-homicides? Do longer prison sentences or increased arrests for drug violations reduce injuries sustained by victims of robberies and other property crimes? Do airport profiling and targeted searches help to increase arrests of drug dealers and/or terrorists? Do increased police response times and arrests reduce the risk of intimate partner violence in domestic disputes? Do welfare reforms that make it more difficult for women to leave abusive relationships increase the risk of violence? Do metal detectors in schools and zero-tolerance policies affect the likelihood of mass shootings on secondary school campuses?

More fundamentally, how does Policy Analysis frame these questions so that answers can be sought? What are the tools of applied microeconomics and quantitative policy analysis that are useful in addressing these questions of developing strategies for reducing or controlling crime and violence in society? How can conventional rational choice models be applied effectively to help structure these questions? When do these models fail? What types of empirical approaches can overcome the conceptual weaknesses of choice models in designing and evaluating anti-violence initiatives?

This course approaches these questions. It is more a course on Applied Policy Analysis with a focus on methods and techniques for problem solving related to criminal justice issues than it is a course about the social or psychological underpinnings of crime itself. The common theme, derived from the economics of crime literature, is that under certain circumstances deterrence and sanctions work to influence individual outcomes. The course introduces modeling schemes for helping to craft interventions that might work. The course explores how one goes about measuring and estimating how effectively these policy instruments work.

Methods and Procedures

The first portion of the class is devoted to a review and synthesis of microeconomic and policy analytic models of race, crime and law enforcement. Two sets of skills are emphasized: the ability to read and interpret academic economic articles and the ability to understand the core assumptions and derivations of the rational choice model under uncertainty, which forms the main approach to economic modeling of crime and law enforcement. The second portion of the class focuses on race and crime applications. Three specific applications are explored: a) Racial profiling; b) Impacts of mass incarceration on black family structures; and c) Racial disparities in arrests.
In the final week of class students will present the results of a policy brief addressing one of the following topics:

- Police use of deadly force
- Racial disparities in arrests
- Racial disparities in incarceration
- Drug use and drug selling
- Racial Profiling
- Racial disparities in traffic stops
- Labor Markets and Crime
- The effects on incarceration on marriage and family structure
- Causes of the drop in crime rates
- Evaluation of "Broken Windows" policies
- Stop and Frisk policies
- The effectiveness of community policing
- Do gun buy-backs, waiting periods, mandated gun designs (such as trigger locks), background checks, or high taxes on gun sales reduce violence?
- Do risk assessment protocols in child abuse and neglect investigations help to reduce the child-homicides?
- Do longer prison sentences or increased arrests for drug violations reduce injuries sustained by victims of robberies and other property crimes?
- Do airport profiling and targeted searches help to increase arrests of drug dealers and/or terrorists?
- Do increased police response times and arrests reduce the risk of intimate partner violence in domestic disputes?
- Do welfare reforms that make it more difficult for women to leave abusive relationships increase the risk of violence?
- Do metal detectors in schools and zero-tolerance policies affect the likelihood of mass shootings on secondary school campuses?
- Do employee security checks reduce the risk of workplace violence?

**Policy Brief Instructions:**

Students will form teams of 4-5 on the first day of class and choose a single policy topic from the list above. Students will search for a locate a single academic journal article published within the past 10 years that addresses the general topic chosen by your team from the list above.

The article should be published in an economics or applied economics/econometrics peer reviewed journal. In exceptional circumstances, teams may wish to justify using a book or government document (such as a publication of the Congressional Research Service (CRS) or the General Accounting Office (GAO)).
Teams should produce a written brief (4 to 6 pages) that addresses the following questions:

1. What is the problem that the article addresses?
2. Why is this a pressing policy problem?
3. What evidence is presented in the article and what are the main policy conclusions?
4. What criteria are implicit in the reaching of the article’s conclusions?
5. What are the racial/ethnic group implications of the article?
6. What strategy do you think the author(s) would recommend?

Please plan to prepare a 10 – 15 minute presentation with time for questions and answers. Due date for the Policy Briefs is December 16, 2015, 11:59 pm.

**Evaluation Scale for Policy Briefs:**

<table>
<thead>
<tr>
<th>Grade</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>A+</td>
<td>100</td>
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<tr>
<td>A/A+</td>
<td>97.5</td>
</tr>
<tr>
<td>A</td>
<td>95.0</td>
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<tr>
<td>A-/A</td>
<td>92.5</td>
</tr>
<tr>
<td>A-</td>
<td>90.0</td>
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<tr>
<td>B+/A-</td>
<td>87.5</td>
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<tr>
<td>B</td>
<td>85.0</td>
</tr>
<tr>
<td>B/B+</td>
<td>82.5</td>
</tr>
<tr>
<td>B</td>
<td>80.0</td>
</tr>
<tr>
<td>B-/B</td>
<td>77.5</td>
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<tr>
<td>B-</td>
<td>75.0</td>
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<tr>
<td>C+/B-</td>
<td>72.5</td>
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<tr>
<td>C</td>
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<td>C-/C</td>
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<td>45.0</td>
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<tr>
<td>F+/D-</td>
<td>42.5</td>
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</tbody>
</table>

**Peer Evaluations**

Team presentations will be evaluated by other students (peers) in the class. The criteria for evaluation will include: sufficiency of background information provided; organization; adequacy of visual aids if used; ability to keep within time limits; and overall success of the session in maintaining students’ interest. Scores will range from unsatisfactory to outstanding with the following conversions:

1 - Unsatisfactory 60
2 - Needs Improvement 70
3 - Good 80
4 - Very Good 90
5 - Outstanding 100

**Within-Group Evaluations**

At the end of the course, team members will evaluate one another. The criteria for evaluation will be: cooperativeness, timeliness, reliability, and effectiveness (or value) of contributions. The conversion scale will be:

1 - Unsatisfactory 60
2 - Needs Improvement 70
3 - Good 80
4 - Very Good 90
5 - Outstanding 100

There will be a "drop-lowest grade" option available to any student who wishes to produce an annotated bibliography on one of the policy issues addressed above. In order to take advantage of this option, the annotated bibliography must be submitted by December 16, 2015, 11:59 pm.

**Dropping of Lowest Grade Option**

Students have the option of producing a (sole-authored) 6-8 page (single spaced) annotated bibliography on one of the topics listed in the overview. The annotation should provide a broad listing of recent competing views on a given topic along with sufficient details to permit the reader to grasp the key points of a policy issue. Simply reproducing abstracts obtained online will not be sufficient. At minimum, the articles will need to be categorized and summarized. Annotations that meet the minimum guide-post will be deemed satisfactory. Students who have a satisfactory grade on this option will receive a course grade that drops the lowest grade.

**Grading**

1. Quiz #1 25%
2. Quiz #2 25%
3. Policy Brief 30%
3. Within Team Evaluation 10%
4. Peer Evaluations of Final Presentations 10%

**Incompletes**

Humphrey School of Public Affairs policy stipulates that incompletes only be given under extenuating circumstances and only after the instructor and student have mutually agreed upon a timetable (contract) for completion of all coursework. This course, moreover, is structured so that all student work can be delivered before the end of the quarter. Accordingly, only in the most compelling instances will the instructor consider a request for an incomplete.

**DATA SOURCES:**

Sourcebook of Criminal Justice Statistics: [http://www.albany.edu/sourcebook/](http://www.albany.edu/sourcebook/)
*Uniform Crime Reports, Crime in the United States*, [http://www.fbi.gov/ucr/03cius.htm](http://www.fbi.gov/ucr/03cius.htm)
*Crime in California*, [http://caag.state.ca.us/cjsc/pubs.htm](http://caag.state.ca.us/cjsc/pubs.htm)
California Department of Corrections, [http://www.corr.ca.gov/](http://www.corr.ca.gov/)
Organization of the Course

Week 1: Course Overview

**Required Reading**


**Optional Reading**


Week 2: Mathematics Review; Optimization under Certainty

**Required Reading**


**Optional Reading**


Week 3: Risk and Uncertainty; The Becker Model of Crime

**Required Reading**


Optional Reading


**Week 4:** Extensions of the Becker Model: Tests of the Rational Choice Model

Required Reading


Optional Reading


**Quiz #1**
Week 5: APPLICATION #1: Racial Profiling; Racial Profiling Exercise

Required Reading


Optional Reading


Week 6: APPLICATION #2: Effects of Mass Incarceration on Black Families

Required Reading


Optional Reading


Week 7: APPLICATION #3: Discrimination in Arrests and Punishment

Required Reading


Optional Reading


Quiz #2

Final Week: Policy Briefs

Guide to Lectures:

<table>
<thead>
<tr>
<th>Date</th>
<th>LECTURE TOPIC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Wednesday, October 28, 2015</td>
<td>Course Overview</td>
</tr>
<tr>
<td>Monday, November 02, 2015</td>
<td>Mathematics Review</td>
</tr>
<tr>
<td>Wednesday, November 04, 2015</td>
<td>Optimization under Certainty</td>
</tr>
<tr>
<td>Monday, November 09, 2015</td>
<td>Risk and Uncertainty</td>
</tr>
<tr>
<td>Wednesday, November 11, 2015</td>
<td>The Becker Model of Crime</td>
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<tr>
<td></td>
<td>Extensions of the Becker Model: Tests of the</td>
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<tr>
<td></td>
<td>Rational Choice Model</td>
</tr>
<tr>
<td>Monday, November 16, 2015</td>
<td>Quiz #1</td>
</tr>
<tr>
<td>Wednesday, November 18, 2015</td>
<td>APPLICATION #1: Racial Profiling</td>
</tr>
<tr>
<td>Monday, November 23, 2015</td>
<td>Racial Profiling Exercise</td>
</tr>
<tr>
<td>Wednesday, November 25, 2015</td>
<td>APPLICATION #2: Effects of Mass Incarceration</td>
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<td></td>
<td>on Black Families</td>
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<td></td>
<td>Effects of Incarceration on Black Families,</td>
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<td>Cont.</td>
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<tr>
<td>Monday, November 30, 2015</td>
<td>APPLICATION #3: Discrimination in Arrests</td>
</tr>
<tr>
<td>Wednesday, December 02, 2015</td>
<td>Quiz #2</td>
</tr>
<tr>
<td>Monday, December 07, 2015</td>
<td>Policy Briefs</td>
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<tr>
<td>Wednesday, December 09, 2015</td>
<td>Policy Briefs</td>
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<tr>
<td>Monday, December 14, 2015</td>
<td>Policy Briefs</td>
</tr>
<tr>
<td>Wednesday, December 16, 2015</td>
<td>Policy Briefs</td>
</tr>
</tbody>
</table>
Please review the following academic policies:

Equity, Diversity, Equal Opportunity, and Affirmative Action:

The University will provide equal access to and opportunity in its programs and facilities, without regard to race, color, creed, religion, national origin, gender, age, marital status, disability, public assistance status, veteran status, sexual orientation, gender identity, or gender expression. For more information, please consult Board of Regents Policy: http://regents.umn.edu/sites/default/files/policies/Equity_Diversity_EO_AA.pdf.

Disability Accommodations:
The University of Minnesota is committed to providing equitable access to learning opportunities for all students. Disability Services (DS) is the campus office that collaborates with students who have disabilities to provide and/or arrange reasonable accommodations.

If you have, or think you may have, a disability (e.g., mental health, attentional, learning, chronic health, sensory, or physical), please contact DS at 612-626-1333 to arrange a confidential discussion regarding equitable access and reasonable accommodations. If you are registered with DS and have a current letter requesting reasonable accommodations, please contact your instructor as early in the semester as possible to discuss how the accommodations will be applied in the course.

For more information, please see the DS website, https://diversity.umn.edu/disability/.

Mental Health and Stress Management:

As a student you may experience a range of issues that can cause barriers to learning, such as strained relationships, increased anxiety, alcohol/drug problems, feeling down, difficulty concentrating and/or lack of motivation. These mental health concerns or stressful events may lead to diminished academic performance and may reduce your ability to participate in daily activities. University of Minnesota services are available to assist you. You can learn more about the broad range of confidential mental health services available on campus via the Student Mental Health Website: http://www.mentalhealth.umn.edu.

Student Conduct Code:

The University seeks an environment that promotes academic achievement and integrity, that is protective of free inquiry, and that serves the educational mission of the University. Similarly, the University seeks a community that is free from violence, threats, and intimidation; that is respectful of the rights, opportunities, and welfare of students, faculty, staff, and guests of the University; and that does not threaten the physical or mental health or safety of members of the University community.

As a student at the University you are expected adhere to Board of Regents Policy: Student Conduct Code.
To review the Student Conduct Code, please see:

Note that the conduct code specifically addresses disruptive classroom conduct, which means "engaging in behavior that substantially or repeatedly interrupts either the instructor’s ability to teach or student learning. The classroom extends to any setting where a student is engaged in work toward academic credit or satisfaction of program-based requirements or related activities."

**Use of Personal Electronic Devices in the Classroom:**

Using personal electronic devices in the classroom setting can hinder instruction and learning, not only for the student using the device but also for other students in the class. To this end, the University establishes the right of each faculty member to determine if and how personal electronic devices are allowed to be used in the classroom. For complete information, please reference:

**Scholastic Dishonesty:**

You are expected to do your own academic work and cite sources as necessary. Failing to do so is scholastic dishonesty. Scholastic dishonesty means plagiarizing; cheating on assignments or examinations; engaging in unauthorized collaboration on academic work; taking, acquiring, or using test materials without faculty permission; submitting false or incomplete records of academic achievement; acting alone or in cooperation with another to falsify records or to obtain dishonestly grades, honors, awards, or professional endorsement; altering, forging, or misusing a University academic record; or fabricating or falsifying data, research procedures, or data analysis. (Student Conduct Code:http://regents.umn.edu/sites/default/files/policies/Student_Conduct_Code.pdf)

If it is determined that a student has cheated, he or she may be given an "F" or an "N" for the course, and may face additional sanctions from the University. For additional information, please see:
http://policy.umn.edu/Policies/Education/Education/INSTRUCTORRESP.html.

The Office for Student Conduct and Academic Integrity has compiled a useful list of Frequently Asked Questions pertaining to scholastic dishonesty:
http://www1.umn.edu/oscai/integrity/student/index.html.

If you have additional questions, please clarify with your instructor for the course. Your instructor can respond to your specific questions regarding what would constitute scholastic dishonesty in the context of a particular class-e.g., whether collaboration on assignments is permitted, requirements and methods for citing sources, if electronic aids are permitted or prohibited during an exam.

**Makeup Work for Legitimate Absences:**
Students will not be penalized for absence during the semester due to unavoidable or legitimate circumstances. Such circumstances include verified illness, participation in intercollegiate athletic events, subpoenas, jury duty, military service, bereavement, and religious observances. Such circumstances do not include voting in local, state, or national elections. For complete information, please see:
http://policy.umn.edu/Policies/Education/Education/MAKEUPWORK.html.

Appropriate Student Use of Class Notes and Course Materials:

Taking notes is a means of recording information but more importantly of personally absorbing and integrating the educational experience. However, broadly disseminating class notes beyond the classroom community or accepting compensation for taking and distributing classroom notes undermines instructor interests in their intellectual work product while not substantially furthering instructor and student interests in effective learning. Such actions violate shared norms and standards of the academic community. For additional information, please see:

Academic Freedom and Responsibility:

Academic freedom is a cornerstone of the University. Within the scope and content of the course as defined by the instructor, it includes the freedom to discuss relevant matters in the classroom and conduct relevant research. Along with this freedom comes responsibility. Students are encouraged to develop the capacity for critical judgment and to engage in a sustained and independent search for truth. Students are free to take reasoned exception to the views offered in any course of study and to reserve judgment about matters of opinion, but they are responsible for learning the content of any course of study for which they are enrolled.* When conducting research, pertinent institutional approvals must be obtained and the research must be consistent with University policies.

Reports of concerns about academic freedom are taken seriously, and there are individuals and offices available for help. Contact the instructor, the Department Chair, your adviser, the associate dean of the college, or the Vice Provost for Faculty and Academic Affairs in the Office of the Provost.
I. The Purpose and Objectives of the Course:

This course provides an introduction to global economic relations and the economic theory that explains much of them. We will study the underlying determinants of trade in goods, services and capital among countries along with the policies that states often use to influence such trade. We will also explore the theory and practice of international macroeconomics and policy problems of global financial openness.

II. Grading and Exams

Class attendance is expected in the sense that you are responsible for any material presented there that is not in the textbook. Moreover, because the subject matter is difficult and there is a diverse set of topics, reading for the material to be covered in class should be done ahead of time.

You will be part of a team that will write up a brief problem answer that you will present and defend in class. You will also have the opportunity for individual classroom contributions. The combination of these two factors will count for 20 percent of your grade.

There will be two quizzes during the course; each will count for 20 percent of your grade. The dates for the quizzes are listed on the class schedule. There will be no make-up of quizzes. The final exam for the course will be on Wednesday, December 17 from 8:00-10:00am. This two hour exam will count for 40 percent of your grade. The final exam will be cumulative with somewhat more emphasis on material taught after the second quiz.
Additional Information

The written problem responses upon which the class presentations are based must be emailed to the instructor by noon on the day of the class presentation. In the interest of fairness, deadlines are firm. Late papers will lose a full letter grade for each 24 hours or portion thereof.

Students may ask for reasonable and timely accommodations for religious observances. Please review the syllabus closely to determine if your religion will present scheduling conflicts with any of the assignments.

In compliance with the University of Minnesota policy, appropriate academic accommodations for students with documented disabilities will be provided.

Plagiarism and cheating are absolutely unacceptable and will be pursued to the fullest extent of the University’s policies. Violations will result in a failing grade for the class.

II. Required Text:


Additional short readings may be assigned during the semester and will be posted on the course Moodle site.

PowerPoint decks for the lectures can be downloaded from the Moodle site.

III. Valuable websites

Internet Resources for Economists:
http://www.oswego.edu/~economic/econweb.htm

The Economist
http://www.economist.com/

Marginal Revolution
http://marginalrevolution.com/
The Bradford DeLong blog  
http://www.j-bradford-dejong.net/

The Gregory Mankiw blog  
http://gregmankiw.blogspot.com/

Other sites may be noted during the semester.

V. Course Outline and Required Reading (other readings may be assigned during the semester)

The following dates are subject to change, although quiz dates will not be changed without class agreement.

A. The Basic Economics of Global, Trade, Investment, and Migration

1. Introduction (September 9)  
   Krugman, Obstfeld, and Melitz (KOM), Chapter 1

2. World Trade (September 14)  
   KOM, Chapter 2

3. Labor Productivity and Comparative Advantage (September 16)  
   KOM, Chapter 3

4. Resources, Comparative Advantage and Income Distribution (September 21)  
   KOM, Chapter 4

5. The Standard Trade Model (September 23, 28)  
   KOM, Chapter 5

6. Economies of Scale, Imperfect Competition, and International Trade (September 30)  
   KOM, Chapter 6

7. International Factor Movements (October 5)  
   KOM, Chapter 7
B. Selected Trade and Factor Mobility Policy Issues  
(October 7, 12, 14, 21, 26)  
KOM Chapter 8, 9, 10, 11, 12 (specific page numbers will be given during the semester)  

QUIZ 1  October 19  

C. Economics of Global Money and Finance  

1. National Income Accounting and the Balance of Payments  (October 28)  
   KOM, Chapter 13  

2. Foreign Exchange Markets  (November 2)  
   KOM, Chapter 14  

3. Money, Interest Rates and Exchange Rates  (November 4)  
   KOM, Chapter 15  

4. Price Levels and the Exchange Rate in the Long Run  (November 9)  
   KOM, Chapter 16  

5. Output and the Exchange Rate in the Short Run  (November 11, 16)  
   KOM, Chapter 17  

6. Fixed Exchange Rates and Foreign Exchange Intervention  (November 18, 25, 30)  
   KOM, Chapter 18 (only up through page 515).  

QUIZ 2  November 23  

D. Policy Issues in Global Macroeconomics  
(December 2, 7, 9, 14, 16)  
KOM, 19, 20, 21, 22 (specific page numbers will be given during the semester)  

The Final Examination will take place on Monday, December 21st from 4:40 to 6:40 p.m. in Blegen 135.
PSM B1620 – Advanced Quantitative Methods
Course Syllabus
City College of New York
Spring 2013

Instructor: Adriana Espinosa, PhD
Office Hours: Wednesdays 2-4 PM or by appointment
Office: NAC 7/114 A
E-mail: aespinosa@ccny.cuny.edu

Course Description - The purpose of this course is to teach students how statistical methods can help us make factual conclusions about the social, economic and political world. In class, students will obtain the knowledge of statistical theory and corresponding empirical implementation to test policy and program effectiveness. At the end of the semester students should be able to prepare, analyze and present data to answer key public policy and administration questions.

This course will employ the use of Excel to manipulate and interpret data.

This class meets on Mondays 7:15 – 9:15 PM in NAC 6/150.

Prerequisites – PSM B1877 or equivalent.

Learning Objectives – At the end of this course students should be able to:

- Understand how basic policy and public administration theories and hypotheses can be substantiated through empirical investigation.
- Demonstrate knowledge of statistical models to examine a relation.
- Have the ability to identify a causal relationship through data and make corresponding conclusions.
- Identify the most common statistical problems that exist when analyzing data and recognize potential solutions for them.


Final Grade - Your final grade will depend on the following:

- Problem Sets – 10%
- Midterm - 30%
- Final Exam - 30%
- Final Project (see attached) - 30%

Problem Sets - Grading of problem sets will be based on a 0 – 3 scale, where a 0 corresponds to not doing the assignment. The purpose of these assignments is to prepare
you for the exams, as most of the material you will be tested on will be based on these problems. It is strongly encouraged that you take these problem sets very seriously. Unless otherwise specified, all problem sets are from Meier & Brudney.

**Study Groups** – I strongly encourage you to form/join a *study group of 2 or 3 individuals* to work on problems, study for exams and generate ideas for your final project. At the very least, this exercise will make your class experience more enjoyable.

**Late Assignments** – I will not accept any late assignments.

**Course Materials** – Course information, assignments, selected special announcements, solutions to problem sets, and sample exams will be made available via Blackboard.

**Communication** – I will regularly send e-mail with special class announcements via Blackboard. Please make sure the e-mail address you have registered with Blackboard is valid and check it frequently.

**Make Up Exams** - **None**

**Final Research Project** - An essential requirement for this course is completion of a research paper due on Monday, May 20th at 5 PM EST. The purpose of the paper is to give you experience in data analysis. Please refer to the attached guidelines for further details about this project.

**Policies:**

**CUNY Policy on Academic Integrity** - Academic dishonesty of any sort is strictly prohibited at The City College of New York. Go to: [http://www1.ccny.cuny.edu/upload/academicintegrity.pdf](http://www1.ccny.cuny.edu/upload/academicintegrity.pdf) to download a copy of the University’s academic integrity policy handout.

**Policy on Lateness and Absence** - Students are expected to attend and be on time to every class in which they are enrolled. The instructor has the right to drop a student from a course for excessive absence or lateness, with no distinction made between excused and unexcused absences. Go to: [http://www1.ccny.cuny.edu/CCNYBulletin/upload/CCNY-Graduate-Bulletin-2008-10-2.pdf](http://www1.ccny.cuny.edu/CCNYBulletin/upload/CCNY-Graduate-Bulletin-2008-10-2.pdf) for more information on this college policy.

**Course Calendar** *(Subject to change at instructor’s discretion)*

<table>
<thead>
<tr>
<th>Day</th>
<th>Chapters / Material Covered</th>
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<tbody>
<tr>
<td>Jan 28</td>
<td>Review of Descriptive Statistics</td>
</tr>
<tr>
<td>Feb 4</td>
<td>Ch 7, 8, 11 – Introduction to probability and inference</td>
</tr>
<tr>
<td>Feb 11</td>
<td>Ch 7, 8, 11 – “cont” Confidence intervals</td>
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</table>
Feb 18  **NO CLASSES- COLLEGE CLOSED**
Feb 20  **MONDAY SCHEDULE**  – Ch 12 – Hypothesis Testing
Feb 25  Ch 14 – Testing differences between 2 groups
March 4  Ch 14 “cont”
March 11 Ch 15, 16, 17, 18 - Contingency Tables, Chi-Square test of independence

**March 18**  **Exam # 1**
March 25  **SPRING RECESS – NO LECTURE**
April 1   **SPRING RECESS – NO LECTURE**
April 8  Ch 18 – Introduction to Regression Analysis (correlation and scatterplots)
April 15 Ch 18, 19 – Linear regression “cont”
April 22 Ch 20 – Time Series Analysis
April 29 Ch 21, 22, 23 – Multiple Linear Regression
May 6   Student Presentations – Proposals due
May 13  **FINAL EXAM (In Class)**
May 20  **FINAL PROJECT REPORT DUE AT 5:00 PM**
SPEA-V 506 (25223): Statistical Analysis for Effective Decision Making (3 cr.)

Instructor: Jerome Dumortier
Time and Location: Tuesday 6:00 pm – 8:40 pm in BS 2008
Office and Contact: BS 4074, Phone: (317) 274-1817, Email: jdumorti@iupui.edu
Office Hours: Monday 4:45 – 5:45 pm, Tuesday 4:45 – 5:45 pm, and Friday 8:45-10:45 am.

Course Bulletin Description
Non-calculus survey of concepts in probability, estimation, and hypothesis testing. Applications of contingency table analysis and analysis of variance, regression, and other statistical techniques. Computer processing of data emphasized.

Course Objective
This is a graduate level statistics course focusing on the statistical analysis of public and environmental affairs. It will teach students the skills necessary to carry out statistical analysis as well as the basic theory that enables and constrains the application of statistics to real world data. The course emphasizes on teaching the fundamentals of statistics, the practical application of statistics, the interpretation of statistical data, and the use of the statistical software STATA. The course covers topics such as conditional probability, probability distributions, joint distributions, covariance, correlation, the law of large numbers, the central limit theorem, graphical and numerical summaries of data, simple and multivariate regression, hypothesis testing, sampling, estimation, and confidence intervals. At the conclusion of the course, students will be able to do the following:

- Calculate and interpret frequency distributions, measures of central tendency, and measures of dispersion
- Understand the nature and application of basic probability distributions
- Develop sampling strategies, understand sampling distributions, and calculate confidence intervals for sample statistics
- Conduct hypothesis tests
- Do simple and multiple regression analyses, interpret the relevant statistics, and conduct the basic tests of hypotheses
- Develop basic multiple regression models with an understanding of the problems encountered and methods for creating more elaborate multiple regression models
- Know how to use STATA

Although there are no prerequisites, it is highly recommended that each student has completed an undergraduate statistics and mathematics class. This course will use a large amount of mathematics and it is strongly recommend refreshing your memory. The level of presentation, the use of examples, and the time allocated to the topics are based on this assumption. Any student who has not had such preparation should anticipate undertaking self-directed remedial work in order to fully comprehend the topics. Such remedial activities include working
additional problems found in the textbook or using online resources that present concepts in alternative ways.

**Recommended Textbook and Lectures**

Because of high textbook costs, I have decided to use an online textbook which is freely available through the IUPUI library. The book is called *A Modern Introduction to Probability and Statistics - Understanding Why and How* by Frederik Michel Dekking, Cornelis Kraaikamp, Hendrik Paul Lopuhaä, and Ludolf Erwin Meester. The URL to the book is:

http://www.springerlink.com/content/978-1-85233-896-1/#section=531358&page=1

Note that you have to be on campus (or use a Virtual Private Network at home) to access the book. However, you can download all the chapters as pdf files to your computer. This allows you to access the book offline and at home. The book serves as a reference for the material presented in class. The material in the book is a bit more advanced than what will be covered in class. The schedule lists the chapters and sections to read. Lecture notes, assignments and all other material for this class can be found at https://oncourse.iu.edu.

If you have any questions, please feel free to come to my office hours. Note that it will not be sufficient to download the lecture notes and study them without having attended the class. The slides are no substitutes to attending lectures. If you have any questions during the lecture, please feel free to ask me. Finally, note that if you miss a class, it is your responsibility to find out if you missed any assignments or handouts.

**Evaluation**

There will be one midterm exam (30% of final grade) and one final exam (40% of final grade). The midterm exam is closed books and closed notes. I do not expect you to know equations and formulas by heart. I will provide you with the necessary equations and formulas on the exam. However, you are expected to know how to apply them. The midterm examination is scheduled for October 14th, 2014 during regular class time. The final exam will be take-home. The material covered in class, the lecture notes, the book, and the homework is fair game for both exams. The final exam will emphasize on the material covered after the midterm and the application of STATA. Please note that there will be no make-up exams except for medical reasons, school sponsored events, jury duty, and military duty. In any case, you have to notify me in advance if you are going to miss an exam. I need written documentation from a physician in the case of a medical problem and a note from your advisor in all other cases.

There will be 7 assignments (30% in total) during the semester. Please do your homework neatly and staple it. If you know in advance that you are going to miss a class on the due date of homework, you can drop your assignment in my mailbox outside BS 4032. You can also scan your homework and send it via email to me. The lowest homework score will be dropped.

Forgetting to bring your homework to class can happen. No penalty applies if I receive the scanned homework via email by midnight, i.e., 12:00 am, of the due date. A score of 0 applies thereafter. This policy will be strictly enforced because it would be unfair to other students who turn in their homework on time.
Grading Scale
If $x$ is your class score, then the following grading scale applies:

<table>
<thead>
<tr>
<th>$x$</th>
<th>Grade</th>
</tr>
</thead>
<tbody>
<tr>
<td>$x \geq 97%$</td>
<td>A+</td>
</tr>
<tr>
<td>$90% &gt; x \geq 87%$</td>
<td>B+</td>
</tr>
<tr>
<td>$80% &gt; x \geq 77%$</td>
<td>C+</td>
</tr>
<tr>
<td>$70% &gt; x \geq 67%$</td>
<td>D+</td>
</tr>
<tr>
<td>$97% &gt; x \geq 93%$</td>
<td>A</td>
</tr>
<tr>
<td>$87% &gt; x \geq 83%$</td>
<td>B</td>
</tr>
<tr>
<td>$77% &gt; x \geq 73%$</td>
<td>C</td>
</tr>
<tr>
<td>$67% &gt; x \geq 63%$</td>
<td>D</td>
</tr>
<tr>
<td>$93% &gt; x \geq 90%$</td>
<td>A-</td>
</tr>
<tr>
<td>$83% &gt; x \geq 80%$</td>
<td>B-</td>
</tr>
<tr>
<td>$73% &gt; x \geq 70%$</td>
<td>C-</td>
</tr>
<tr>
<td>$63% &gt; x \geq 60%$</td>
<td>D-</td>
</tr>
</tbody>
</table>

Anything below 60%, i.e., $x<60\%$, results in the grade “F”.

**STATA Software Packages**
Students will learn how to use the software STATA in this class. There are three main versions of STATA: Small STATA, STATA/IC, and STATA/SE. The cheapest and least performing version is Small STATA. This version should suffice for this class and I will try to limit the datasets for exercises to a size that can be handled by this version. Note that the most powerful version of STATA is available for free on [https://iuanyware.iu.edu/vpn/index.html](https://iuanyware.iu.edu/vpn/index.html) but might be slow in the event of high traffic. All the computers in BS 1000 will be equipped with STATA/IC. So if the student ever encounters a dataset larger than what can be handled by Small STATA, the version in BS 1000 will be able to handle it. If you want to purchase the software, you can go to: [http://www.stata.com/order/new/edu/gradplans/us-pickup/](http://www.stata.com/order/new/edu/gradplans/us-pickup/). The main characteristics are summarized in the table below. Note that the price might be subject to change.

<table>
<thead>
<tr>
<th>Characteristics</th>
<th>Small STATA</th>
<th>STATA/IC</th>
<th>STATA/SE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Maximum number of variables</td>
<td>99</td>
<td>2,047</td>
<td>32,767</td>
</tr>
<tr>
<td>Maximum number of observations</td>
<td>1,200</td>
<td>Limited by RAM on computer</td>
<td>Limited by RAM on computer</td>
</tr>
<tr>
<td>6-month license for students</td>
<td>$35</td>
<td>$69</td>
<td>IUanyWare virtual application</td>
</tr>
</tbody>
</table>

**Canvas**
This course will be using the new course management system called Canvas [https://canvas.iu.edu](https://canvas.iu.edu) that was adopted by Indiana University. Do not use oncourse for any business related to this class!

**General Items**
I really like teaching. Below is a list of items and suggestions that I would like you to keep in mind. For 9 out of 10 students, the items on this list are common sense and reflect good manners. Unfortunately, I had (very few) students in the past whose behavior forced me to explicitly state my expectations in the syllabus. My colleague, Professor Kenna Quinet, was kind enough to share her code of conduct with me. So the items you see below are a mix of her and my ideas of how students should conduct themselves in a university environment. The following suggestions may help us avoid any confusion as the semester progresses.

- Turn off your phones. Do not let it make ring or vibrate during class. This behavior is rude towards your classmates and me.
- Do not be late. You should plan in advance for traffic, parking, and other possible delays. In the event that you are late, come into the classroom quietly and take your seat. Do not
walk across the front of the classroom and do not bother your classmates to try to catch up. I do go over the homework solutions at the beginning of class. Do not expect me to hand you back your homework until the end of the class when you are late.

- You do not have to call me and leave messages (including email) about why you cannot attend class unless it is an exam day. Absence from class is your issue and you should contact someone in class to get notes. Do not come to my office hours and expect a private mentoring session on the lecture material you missed.

- Please note that there will be no make-up exams except for medical reasons, school sponsored events, jury duty, family death, and military duty. In any case, you have to notify me in advance if you are going to miss an exam. I need written documentation from a physician in the case of a medical problem and a note from your advisor in all other cases. You will not be able to schedule a make-up exam without written documentation. Do not make me ask for the documentation. If you have a legitimate excuse for being absent on an exam date, please see me in advance of the exam (with documentation) and you may be able to take the exam early. Do not ask to take an exam early because you booked a vacation without checking the syllabus first. If you are sick on an exam day and have a doctor’s excuse to miss the test, you must call me and tell me you are going to miss the exam ahead of the exam time. Do not sit in class and listen to us talk through the exam and then come up after that class and tell me you need to take the exam. If you are late to an exam, you do not get extra time at the end. If you are so late that other students have already left the exam you will not be allowed to begin the exam, you will get a zero unless you have a verifiable emergency for why you were so late.

- Cheating will be met with the most severe penalties allowed by the University.
- Please do your homework neatly and staple it. If you know in advance that you are going to miss a class on the due date of homework, you can drop your assignment in my mailbox outside BS 4032. You can also scan your homework and send it via email to me. Forgetting to bring your homework to class can happen. No penalty applies if I receive the scanned homework as one file in Portable Document Format (PDF) via email by midnight, i.e., 12:00 am, of the due date. A score of 0 applies thereafter. This policy will be strictly enforced because it would be unfair to other students who turn in their homework on time. It is your obligation to present proof of submission if there is any question about whether the homework was sent.

- I encourage you to come to office hours if you have questions, comments, and concerns. Do not come to office hours and solve the homework in front of me. This is unfair to other students.
- I strongly prefer if you use my email address, i.e., jdumorti@iupui.edu, for communication instead of oncourse. It is much more convenient and you get a quicker response. Note that it is university policy that you have to use your official university account for communication with me. If you send me an email from a non-university account, e.g., Gmail, Yahoo, etc., I will respond to your IU/IUPUI account. Do not send me a message on oncourse after the end of the semester. Always use my email.
- I am more than happy to discuss your educational, professional and career objectives.
- There is no extra credit in this class

Schedule
**Fundamental of Probability**

**Week 1: 26-Aug**  
Lecture 1: Introduction to the course, basic mathematical tools, and introduction to probability  
Reading:  
- Chapter 1 and 2 (2.1 – 2.4)

**Week 2: 2-Sep**  
Lecture 2: Conditional probability and independence, discrete and continuous random variables  
Reading:  
- Chapter 3, 4, and 5

**Week 3: 9-Sep**  
Lecture 3: Measures of central tendency and variability, joint distributions, and independence  
Reading:  
- Chapter 7 (7.1 – 7.2, 7.4) and 9  
**Homework 1 due**

**Week 4: 16-Sep**  
Lecture 4: Covariance, correlation, the law of large numbers, and the central limit theorem  
Reading:  
- Chapter 10, 13 (13.1, 13.3 – 13.4), and 14  
**Homework 2 due**

**Week 5: 23-Sep**  
Lecture 5: Graphical and numerical summaries  
Reading:  
- Chapter 15.1 – 15.2, 15.4 – 15.5, and 16

**Fundamentals of Statistics**

**Week 6: 30-Sep**  
Lecture 6: Basic statistical models and unbiased estimators  
Reading:  
- Chapter 17 and 19  
**Homework 3 due**

**Week 7: 7-Oct**  
Lecture 7: Efficiency, mean squared error, and the method of least squares  
Reading:  
Chapter 20 (20.1 and 20.2) and 22

**Week 8: 14-Oct**  
**MIDTERM EXAMINATION**

**Week 9: 21-Oct**  
Fall Break (no class)

**Schedule (continued)**
Week 10: 28-Oct  Lecture 8: Confidence intervals  
   Reading:  
   Chapter 23 (23.1, 23.2, 23.4) and 24  
   Homework 4 due

Week 11: 4-Nov  Lecture 9: Hypothesis testing, t-test, and comparing two samples  
   Reading:  
   • Chapter 25, 26, 26, and 28

Week 12: 11-Nov  Lecture 10: Introduction to STATA  
   STATA lecture in BS 1000  
   Homework 5 due

Fundamentals of Regression Analysis

Week 13: 18-Nov  Lecture 11: Regression I  
   Readings will be assigned

Week 14: 25-Nov  Lecture 12: Regression Analysis with STATA  
   STATA lecture in BS 1000  
   Readings will be assigned  
   Homework 6 due

Week 15: 2-Dec  Lecture 13: Regression II  
   Readings will be assigned  
   Homework 7 due

Week 16: 9-Dec  Lecture 14: Regression III  
   Readings will be assigned

Week 17: 16-Dec  FINAL EXAM DUE AT 6:00 PM VIA CANVAS

Syllabus Addendum: SPEA 2014 Policies

There are a number of campus-wide policies governing the conduct of courses at IUPUI. These can be found at http://registrar.iupui.edu/course_policies.html. Additional information for SPEA courses is below.

Civility and Disorderly Conduct

SPEA, which is a professional school, expects students to conduct themselves in a courteous and civil manner in interactions with professors and fellow students. This requires each person to be courteous, tolerant, and respectful during interactions with one another in all interactions, including face-to-face interactions, e-mail, and telephone conversations. Examples of discourteous behavior during class include reading the newspaper, working crossword puzzles, listening to headphones, talking or laughing with other, arriving late, using computers to surf the web, allowing cell phones to ring or sending text messages, or other non-class activities. The use of language, tone, or gestures that are inappropriate or offensive is also discourteous. These
behaviors are not acceptable, and SPEA faculty and staff will address these problems as they arise either in class or on an individual basis.

Disorderly conduct that interferes with teaching, research, administration, or other university or university-authorized activity will not be tolerated and will be reported immediately to the Office of the Dean of Students for disposition, which may result in disciplinary action, including possible suspension and/or expulsion from the university. Responsibilities and expectations of students and faculty can be found at http://registrar.iupui.edu/misconduct.html.

**Academic Misconduct**

Students are responsible for upholding and maintaining academic and professional honesty and integrity (IUPUI Code of Student Rights, Responsibilities, and Conduct, available at http://www.iu.edu/~code/, Part II Student Responsibilities, G).

Plagiarism is the most common academic misconduct violation, and some students, who have been disciplined for plagiarism, have said they were not aware that they had plagiarized their work. Be aware that ‘not knowing’ does not excuse academic misconduct – every student is responsible for knowing the rules. The IU School of Education’s ‘How to Recognize Plagiarism’ is an on-line tutorial that can help you avoid plagiarism. It can be accessed at http://www.indiana.edu/~istd/. If you have any questions about what constitutes academic misconduct for a course you are taking, be sure to ask the instructor for an explanation.

All faculty have the responsibility of fostering the “intellectual honesty as well as the intellectual development of students” and part of this responsibility means that faculty must investigate cases of potential academic misconduct promptly and thoroughly. Faculty members also have the responsibility of taking appropriate action when academic misconduct occurs. The penalties for academic misconduct include but are not limited to lowering a grade on an assignment, lowering a course grade, or failing a student for a course. Significant violations of the Code can result in expulsion from the University.

SPEA faculty take their responsibilities seriously and do not tolerate cheating, plagiarism, or any other form of academic misconduct. If you have not done so, you should read about your responsibilities in the IUPUI Code of Student Rights, Responsibilities, and Conduct to ensure that you understand what these terms mean and what penalties can be issued for academic misconduct.

The *IUPUI Code of Student Rights, Responsibilities, and Conduct* defines four areas of academic misconduct: cheating, fabrication, plagiarism, and interference. The prohibited activities and actions include the following:

1) Cheating. A student must not use or attempt to use unauthorized assistance, materials, information, or study aids in any academic exercise, including, but not limited to, the following:
   a) A student must not use external assistance on any "in-class" or "take-home" examination, unless the instructor specifically has authorized external assistance. This prohibition includes, but is not limited to, the use of tutors, books, notes, and calculators.
   b) A student must not use another person as a substitute in the taking of an examination or quiz.
   c) A student must not steal examinations or other course materials.
   d) A student must not allow others to conduct research or to prepare work for him or her without advance authorization from the instructor to whom the work is being submitted.
Under this prohibition, a student must not make any unauthorized use of materials obtained from commercial term paper companies or from files of papers prepared by other persons.

e) A student must not collaborate with other persons on a particular project and submit a copy of a written report which is represented explicitly or implicitly as the student's individual work.

f) A student must not use any unauthorized assistance in a laboratory, at a computer terminal, or on field work.

g) A student must not submit substantial portions of the same academic work for credit or honors more than once without permission of the instructor to whom the work is being submitted.

h) A student must not alter a grade or score in any way.

2) Fabrication. A student must not falsify or invent any information or data in an academic exercise including, but not limited to, records or reports, laboratory results, and citations to the sources of information.

3) Plagiarism. A student must not adopt or reproduce ideas, words, or statements of another person without appropriate acknowledgment. A student must give credit to the originality of others and acknowledge an indebtedness whenever he or she does any of the following:

   a) Quotes another person's actual words, either oral or written;

   b) Paraphrases another person's words, either oral or written;

   c) Uses another person's idea, opinion, or theory; or

   d) Borrows facts, statistics, or other illustrative material, unless the information is common knowledge.

4) Interference.

   a) A student must not steal, change, destroy, or impede another student's work. Impeding another student's work includes, but is not limited to, the theft, defacement, or mutilation of resources so as to deprive others of the information they contain.

   b) A student must not give or offer a bribe, promise favors, or make threats with the intention of affecting a grade or the evaluation of academic performance.

Communication between Faculty and Students

In order to verify the identity of all parties involved, effective September 1, 2004, all email communication from current SPEA students to SPEA staff must originate from an Indiana University email account. For email communication with SPEA faculty, current SPEA students should refer to course syllabi for instructors’ preferences (Oncourse, Webmail, etc.). This policy applies to current students only. Instructions for forwarding your IUPUI email to another account can be found at http://uits.iu.edu/scripts/ose.cgi?berh.def.help.

Students Needing Support From Counseling and Psychological Services

SPEA encourages any student who has concerns about their personal welfare to seek assistance with the professionally trained counselors of the IUPUI Counseling and Psychological Services (CAPS). CAPS provides direct professional psychological services, including crisis response, counseling, assessment and referral to all IUPUI students. More information can be found at http://studentaffairs.iupui.edu/health-wellness/counseling-psychology/index.shtml.
Students Needing Support From Adaptive Educational Services
Students needing accommodations because of a disability will need to register with Adaptive Educational Services (AES) and complete the appropriate forms issued by AES before accommodations will be given. The AES office is located in Taylor Hall, UC 100. You can also reach the office by calling 274-3241. Visit http://aes.iupui.edu/ for more information.

Students Called to Active Duty
SPEA encourages any student who is in the Indiana Military Reserves and is called to active duty to finish his/her coursework if at all possible. Students who cannot complete their courses have the option of withdrawing with 100% fee refund, but this request must be made within one week of being called to active duty. Students who are called to active duty may qualify for an incomplete (provided that all the above criteria have been met). For further information, please see the Office of the Registrar’s website at http://veterans.iupui.edu/practices/withdrawal.php.

FLAGS System
SPEA faculty will be using IU’s FLAGS System (Fostering Learning, Achievement, and Graduation Success) to provide real-time feedback on student performance in the course. Periodically throughout the semester, data on factors such as class attendance, participation, and success with coursework, etc. will be entered with suggestions on ways to improve performance. Students may access this information in the student center: Onestart > Student Services page > Student Center > My Academics and Grades > My Grades.

Administrative Withdrawal (AW)
If this class is utilizing the Administrative Withdrawal (AW) Policy, a student could be withdrawn from the class if they miss more than half of the required class activities within the first 25% of the course. More information can be found in the attendance and/or assessment portion of the syllabus if this policy is being used.

Course Withdrawals
Students who stop attending class without properly withdrawing from the class will receive a grade of F. It is important to withdraw from a course within specified timeframes (see chart below). Note that withdrawals after Week 12 of a regular session or Week 4 of a summer session are rarely granted. Poor performance in a course is not grounds for a late withdrawal.

Withdrawal forms will not be processed in the Office of the Registrar after the last day of classes. Any requests for a late withdrawal after the last day of classes must go through the grade appeal process, but each student should remember that in accordance with campus policy, SPEA does not permit a student to withdraw from a course if he/she has completed the course requirements. Grade replacement should be used in this case. See the Office of the Registrar’s website at http://registrar.iupui.edu/withdraw.html for more information. To withdraw, obtain a withdrawal slip (DROP/ADD Form) from the SPEA Student Services window. Instructions for completing it are given on the form.

<table>
<thead>
<tr>
<th>Withdrawal Deadlines</th>
</tr>
</thead>
<tbody>
<tr>
<td>Course deleted from record, no grade assigned, 100% refund (Advisor signature IS NOT required)</td>
</tr>
</tbody>
</table>
Withdrawal with automatic grade of W  
(Advisor signature IS required)  
Week 2 – Week 7 (regular session)  
Week 2 – Week 3 (summer session)

Withdrawal with grade of W or F  
(Advisor and instructor signatures ARE required)  
Week 8 – Week 12 (regular session)  
Week 3 – Week 4 (summer session)

Incompletes
A grade of incomplete (I) indicates that a ‘substantial portion’ of the work in a course has been satisfactorily but not entirely completed by the student as of the end of the semester. The incomplete can be given to a student facing a hardship such that such that it would be unjust to hold the student to the established time limits for completing the work. To be eligible for the incomplete in a SPEA course, the student’s work must be of passing quality, and the student must have completed 75% of the course requirements. Poor performance in a course is not grounds for an incomplete. SPEA follows the campus guidelines, which may be accessed at the Office of the Registrar’s website at http://registrar.iupui.edu/incomp.html, in awarding incompletes. Incompletes must be removed within a time period not to exceed one year after the semester in which the student was enrolled in the course. The incomplete will revert to an ‘F’ if the work is not completed within the allotted timeframe established by the instructor.

Grade Changes
Under certain circumstances, students can seek grade changes for previously taken courses if they believe that a grade has been calculated or assigned incorrectly. A student who is seeking a grade change must first contact the instructor and ask for the grade change. In the event the instructor does not change the grade, the student can file a Change of Grade Petition with the Registrar’s Office. In SPEA, a student has 90 days after the conclusion of a course to appeal a grade. In cases of extenuating circumstances, SPEA may consider petitions filed after this date. SPEA will review the request and make a final decision on a case-by-case basis. The Change of Grade petition form is located at the Office of the Registrar’s website at http://registrar.iupui.edu/grdfrm.html.

Final Exam Schedule
If a final exam is given, it must be held on the day and time set in the final exam schedule. If an instructor has changed the final exam date, the student should first consult with the instructor. Students who have more than three final exams in one day or insufficient time to get from one exam to another should consult with their instructors to resolve these conflicts. If a student is not able to resolve a final exam problem with the instructor, the student may report the problem to the Director of the program. Tests or major writing assignments may not be required during the week before the formal final exam week unless assigned or announced at the beginning of the semester. See the Office of the Registrar’s website at http://registrar.iupui.edu/final-policy.html for the policy and final exam week schedule.

Note: This syllabus is tentative and subject to change.
Instructor: Gina Yannitell Reinhardt  
Office: 1096 Allen Building  
Office Hours: Wednesdays, 2-3pm, 4:30-5:30pm  
Email: greinhardt@bushschool.tamu.edu  
WebCT Vista Course Homepage: http://elearning.tamu.edu/

TA: Napon Hongsakulvasu  
Email: econ.napon@neo.tamu.edu  
Tutorials: Thursdays, 5-7pm  
Allen 1063

Required Materials:  
- STATA statistical software, version 12 IC (intercooled), perpetual license recommended
- Additional materials will be made available on our webct vista course page.
- Calculator (such as Texas Instruments BA II Plus Financial Calculator)

Prerequisites: None

Course Description and Course Objectives:  
This is a graduate course in quantitative social science research methods. It is designed to help you: 1) develop analytical skills of scientific inquiry; 2) improve your research design abilities; 3) assess the validity of information presented to you, and 4) learn basic statistical skills. This will be a course filled with new and interesting information.

The course will cover basic rules of scientific inquiry, approaches to statistical analysis, and methods of research design. We will spend a portion of the course learning the STATA statistical software package and the avenues it opens to statistical analysis. As a public servant the skills you learn in this course will be invaluable to your career as a decision-maker, whether in the public, non-profit, or private sector.

In general, topics include: research and experimental design, measurement, sampling, survey research, descriptive statistics, probability theory, inferential statistics, hypothesis testing, difference of means, contingency tables, the chi-square test and other measures of non-parametric statistics, and the basic regression model.

I will not have time to cover all textbook materials in class, and my lectures will cover items that are not in your books. For this reason, a well-rounded approach to studying and reviewing material (readings, notes, homework assignments) is optimal.

NEO Account:  
You must have a NEO email account in order to log on to the WebCT Vista system, and to receive class announcements and emails. You are responsible for making sure that your neo account is current and working. If you do not have one, you may obtain one at: http://neo.tamu.edu.
Learning Outcomes:
By the end of the semester, you should be able to:

- Identify different methods of research design and be able to discuss why particular methods might be appropriate.
- Discuss methods of data collection including surveys and survey question design, survey sampling options, and determining sample size,
- Complete training leading to certification to conduct Human Subjects research
- Assess the reliability and validity of various research projects, including experimental and quasi-experimental research designs.
- Generate and interpret basic descriptive statistics, and measures of central tendency and dispersion.
- Generate, interpret, and perform hypothesis tests using basic inferential statistics.
- Analyze contingency tables or similar tools illustrating that correlation is not causation.
- Understand basic linear regression.
- Determine and interpret the relationship between a dependent and independent variable using a model with control variables.
- Read and critique scholarly articles presenting statistical information.
- Understand the normal, binomial, and Poisson probability distributions and be able to determine which situations are most apt for each distribution.

Course Components:

5% Attendance and Active Participation
- You must attend class having completed all assigned readings. This is the only way you will know which questions you need to ask and where you need help in the material. I encourage you to not only complete the readings, but to work through the example problems in the text, especially if you are having difficulties understanding the material.
- You should also review all your notes from the previous week of classes. During class, we will be able to put your work to best use by working together to iron out your challenges.
- Occasionally, you will be asked to prepare material for discussion during class. You will also work on in-class simulations and activities using datasets, or example problems. Sometimes these activities will be due to me at the end of class or the beginning of the next class period. They will contribute to your participation grade for that week.

40% Homework Assignments
You will be given a homework assignment every week. You must complete the homework assignment for a given week and turn it in on Tuesday of the following week, at the beginning of class. Each assignment will be made available to you no later than Friday in the week of the material covered, and will be labeled with the name of the week of class. For example, your homework assignment for Week 2 will be called “Homework, Week 2,” and will be available on WebCT no later than Friday, September 9th. This homework assignment is due at the beginning of class on Tuesday morning of Week 3, September 13th.

55% Exams (25%, 30%)
There will be two exams over the course of the semester. The first will be a combination of class time and take-home, and the second will be exclusively take-home.
Grading:
The standard Bush School scale will apply:

<table>
<thead>
<tr>
<th>Percentage Range</th>
<th>Grade</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>90%-100%</td>
<td>A</td>
<td>Extraordinary, excellent work and mastery of concept</td>
</tr>
<tr>
<td>80%-90%</td>
<td>B</td>
<td>Good work and solid command of concept</td>
</tr>
<tr>
<td>70%-80%</td>
<td>C</td>
<td>Adequate work and sufficient understanding of concept</td>
</tr>
<tr>
<td>60%-70%</td>
<td>D</td>
<td>Poor work, little understanding of concept</td>
</tr>
<tr>
<td>0%-60%</td>
<td>F</td>
<td>Lack of work, no understanding of concept</td>
</tr>
</tbody>
</table>

Challenging a Grade:
Each homework assignment will have an answer key posted on the WebCT after grading is complete, including the amount of points possible for each component of the homework. Should you have a dispute regarding the way your homework or exam is graded, look at the answer key first. Should you still feel your complaint is justified, you must submit a typewritten challenge form (there is a form on our course site, and on my website) explaining why you believe your grade should be changed, attached to the assignment in question. Absolutely no grade challenges will be entertained in person. Please note that your entire assignment/exam is subject to being re-graded, should you choose to challenge your grade.

Extra Credit:
There is no extra credit for this course.

Late work policy:

Late homework assignments will not be accepted. Early homework assignments will always be accepted. If you find yourself in a situation where you cannot make it to class and cannot give your homework to a colleague to turn in for you, you may email the homework to me or slip it under my office door, along with an explanation for why you are not in class. Otherwise, you are expected to attend class and turn it in yourself.

As the last exam is a take-home exam, it is due at 11:00am on Wednesday, 5 December 2012. You will need to give me an electronic copy and a hard copy. If you turn in your exam on December 5th at 11:01am or later, you will be penalized 5 percentage points. From then on, until you turn in your exam, every time the clock strikes midnight, you will be penalized 5 more percentage points.

Honor Code:

“An Aggie does not lie, cheat, steal, nor tolerate those who do.”

A grade of zero will be given to anyone who cheats on any exam or homework assignment, or who commits plagiarism. Plagiarism is commonly defined as passing off as one’s own the ideas, words, writings, music, graphs, charts, datasets, etc., that were originally created by another. In accordance with this definition, you are committing plagiarism if you copy the work of another person and turn it in as your own, even if you have the permission of the original author. Plagiarism is cheating. It is a violation of personal and academic integrity, and it will not be tolerated. If you have any doubt that you might be committing, or about to commit, an act of plagiarism, stop and consult me or another faculty member first.

It is impossible to stress how seriously I take the Honor Code. If you are found to be in violation of the honor code, you will be sent through the proper Bush School and TAMU channels, you will likely fail this course, and you may be expelled. Thoughts to keep in mind:

- Preparing for lectures with fellow students and working example problems together is permissible and encouraged.
• Homework problems should be submitted individually, even if the preparation to do those problems takes place in groups. Each assignment should be written/typed in your own words. Your grade rests entirely on your own work.
• If you choose to work on your homework in groups, it is understandable that the mathematical portions of your assignments (equations, formulae, computer code) may appear similar. When it comes to written portions of work (sentences, paragraphs, descriptions, definitions), these portions must be written in your own words. A word-by-word duplicate of another person’s solution is considered cheating.
• You are encouraged to use discussion streams (on WebCT) with each other to help each other work through confusion.


Students with Disabilities:
The Americans with Disabilities Act (ADA) is a federal anti-discrimination statute that provides comprehensive civil rights protection for person with disabilities. Among other things, this legislation requires that all students with disabilities be guaranteed a learning environment that provides for reasonable accommodation of their disabilities. If you believe that you have a disability requiring accommodation, please contact the Department of Student Life, Services for Students with Disabilities, in Cain Hall or at 845-1637.

On Graduate School

There is nothing quite as practical as a good theory.
Kurt Lewin, 20th century American social psychologist (1890 – 1947)

Much of your undergraduate education taught you to answer questions for which you were already given the answers. In graduate school you will learn how to ask questions, and to find answers to previously unanswered questions. The transition from answering questions to asking them is generally not easy.

At the Bush School the learning process is designed to prepare students to assume responsible leadership positions. While here you will learn about how to use (and not misuse) management and policy making theory and data in order to be more effective and ethical public servants. This journey begins with the core courses of Economics, Leadership, Policy Formation, and Quantitative Methods. Acquiring specific content knowledge is not the end, however; it is the foundation for graduate work.

With content knowledge as background, students develop and practice the attitude of reflection that permits comprehension to inform practical action. It is this understanding that enables the formulation of questions and ultimately your independent search for answers.

The role of faculty

Bush School faculty members play a critical role in your graduate education through their support of your learning. Faculty members are responsible for developing course content including selecting readings, designing assignments, and setting standards of performance. They serve as role models and mentors for the graduate student body and continue to expand the intellectual capacity of the Bush School and Texas A&M University with their own research, committee work, and publications.

The privilege of serving on the TAMU graduate faculty is taken seriously. This is reflected in our teachers’ professional and scholarly activity and service to the university, to government and nonprofit organizations, and to the broader community of learning. Each faculty member is committed both to high academic standards and to your learning.
While its members share a strong commitment to students and learning, the faculty is diverse in its composition, experience, specialties, approaches to teaching, and opinions. The richness of your intellectual growth is enhanced by the differences you will see and experience.

The role of the student

Students come to the Bush School with a wide range of backgrounds and preparation. You are prepared for some tasks and not at all prepared for others. While our faculty stands ready to help you, it is you who will make decisions about how to approach the difficult task of learning to analyze, think, support your ideas, and to ask and answer questions. The responsibility for your growth and learning is yours.

Graduate school is your new job: you will likely spend 50-60 hours per week attending class, completing readings, conducting research, writing papers, preparing presentations and discussions, and working problem sets. The configuration of the work varies. Sometimes you will work alone; often you will work in teams, mirroring the experiences you will most likely have in your professional career.

As a graduate student you will gain a great deal of experience in figuring things out. For example, your teachers will not tell you what you should remember or conclude from the readings – assignments are designed to help you develop your thinking skills, not to answer particular questions posed by the professor (although s/he will surely question you). You will be given guidelines by each professor, but you will rarely be given step-by-step instructions for assignments…your learning is your responsibility and graduate school offers the opportunity for you to practice learning in a setting which is both demanding and supportive. Although the content covered in your classes is important, it is only secondary to the critical thinking skills that you gain from studying and discussing this material. These skills will help you deal with the unfamiliar after you leave the Bush School.

Resources for your success are all around you at the Bush School. Faculty members will help you, administrative staff will help you, classmates and colleagues will help you. All TAMU resources are at your fingertips: on-line research capacity, writing instruction, student services, and technical resources. Yet you must decide to take advantage of all the richness of the university community in order to improve your grasp of an applied discipline in public service.

As Kant's criteria of "systematic" understanding suggests, you are about to commence learning to look through the lens and to look at the lens. Welcome to graduate school!

Some Websites that May Help you with Fundamental Concepts:

The Kahn Academy offers tutorials and test modules on a multitude of topics. You may find help with:

Arithmetic: All of it
Developmental Math 1 and 2: All of it, especially, equations of lines
Pre-algebra: Introduction to Logarithms
Algebra: Simple Equations, Systems of equations
Algebra 1 Worked Examples: Graphing a line in slope intercept form
Simplifying Expressions with Exponents 2
Simplifying Expressions with Exponents 3
Calculus (we don’t use calculus in our class, but it’s a good foundation/practice for all your analytical courses):
Calculus: Derivatives 1 (new HD version)
Calculus: Derivatives 2 (new HD version)
Calculus: Derivatives 2.5 (new HD version)
Partial Derivatives
Partial Derivatives 2
Probability and Statistics: These two will give you the biggest head start on our actual course content, although not necessarily in the order in which we’ll cover it. Practically all of the lectures under these headings are relevant, so I’m not going to list them all here. Keep in mind that you can watch the lectures now, you can watch them during the semester, and you can always return to this site during the semester if you have other issues to untangle.

Another site, Purple Math, offers tutorials on Algebra ranging from the Preliminary (absolute value and factoring) to the most advanced (trigonometry). During our course, we will be using a lot of basic mathematic notation that you may not have used in many years, or that you may not have ever used at all. Purple Math can help you by introducing these terms and notational concepts to you before we implement them in class. If you are familiar with them ahead of time, your class work will be much more productive.

Visit this link: http://www.purplemath.com/modules/index.htm. If the concepts are already familiar, you will have a great time in class! If foreign to you, please consider reviewing the following lessons before each of them comes up in class (some of you may want to go over them before the semester begins):

**Preliminary Topics:**
- Absolute Value
- Factoring Numbers
- Fractions
- Negative Numbers
- Rounding
- Set Notation

**Beginning Algebra Topics**
- Canceling Units
- Exponents
- Intercepts
- Ratio & Proportion

**Solving Word Problems**
- Translation

**Appendix**
- Factorials

…and the beginnings of trig
- Greek Letters & Their Names
<table>
<thead>
<tr>
<th>Week #</th>
<th>Topic</th>
<th>Reading</th>
<th>Assignment</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Week 1</strong> (8/327-8/29)</td>
<td>Introduction; Protection of Human Subjects, Stata and Dataset Creation</td>
<td>MBB Chapter 1; Acock 1; Complete IRB Training at <a href="http://researchcompliance.tamu.edu/irb/trainreq">http://researchcompliance.tamu.edu/irb/trainreq</a></td>
<td>IRB Training HW, Week 1</td>
<td></td>
</tr>
<tr>
<td><strong>Week 2</strong> (9/3-9/5)</td>
<td>Research Design, Measurement, Sampling, Stata</td>
<td>MBB Chapters 1-3; Acock 1-3</td>
<td>Homework, Week 2</td>
<td></td>
</tr>
<tr>
<td><strong>Week 3</strong> (9/10-9/12)</td>
<td>Description, Dispersion, Central Tendency, Stata</td>
<td>MBB Chapters 4-6; Acock 4-5</td>
<td>Homework, Week 3</td>
<td></td>
</tr>
<tr>
<td><strong>Week 4</strong> (9/17-9/19)</td>
<td>Probability</td>
<td>MBB Chapter 7-8</td>
<td>Homework, Week 4</td>
<td>Tough stuff!</td>
</tr>
<tr>
<td><strong>Week 5</strong> (9/24-9/26)</td>
<td>Probability and the Normal Distribution</td>
<td>MBB Chapter 7-8</td>
<td>Homework, Week 5</td>
<td>Simulation #1, Wednesday</td>
</tr>
<tr>
<td><strong>Week 6</strong> (10/1-10/3)</td>
<td>Binomial, Poisson, and Stata</td>
<td>MBB Chapter 9, “The Poisson Distribution,” from Chapter 10</td>
<td>Homework, Week 6</td>
<td></td>
</tr>
<tr>
<td><strong>Week 7</strong> (10/8-10/10)</td>
<td>Exam 1 on Tuesday, 10/11</td>
<td>Covering MBB Chapters 1-10</td>
<td>Homework, Week 7</td>
<td>In-class Stata exercise, 10/13</td>
</tr>
<tr>
<td><strong>Week 8</strong> (10/15-10/17)</td>
<td>Inference and Hypothesis Testing</td>
<td>MBB Chapter 11</td>
<td>Homework, Week 8</td>
<td>Simulation #2, Wednesday</td>
</tr>
<tr>
<td><strong>Week 9</strong> (10/22-10/24)</td>
<td>Estimation, Proportions and Sample Size</td>
<td>MBB Chapters 12-14; Acock 7</td>
<td>Homework, Week 9</td>
<td></td>
</tr>
<tr>
<td><strong>Week 10</strong> (10/29-10/31)</td>
<td>T-tests with Stata</td>
<td>Acock 7 (MBB Chapters 12-14)</td>
<td>Homework, Week 10</td>
<td>Simulation #3, Wednesday</td>
</tr>
<tr>
<td><strong>Week 11</strong> (11/5-11/7)</td>
<td>Analysis of Nominal and Ordinal Data</td>
<td>MBB Chapter 15-17; Acock 6</td>
<td>Homework, Week 11</td>
<td></td>
</tr>
<tr>
<td><strong>Week 12</strong> (11/12-11/14)</td>
<td>Lines and Linear Relationships; Simple Linear Regression</td>
<td>MBB Chapter 18; Acock 8, 10</td>
<td>Homework, Week 12</td>
<td></td>
</tr>
<tr>
<td><strong>Week 13</strong> (11/19-11/21)</td>
<td>Regression Model Fit and Inference</td>
<td>MBB Chapter 18-19; Acock 10</td>
<td>Homework, Week 13</td>
<td>Afternoon students may come to morning section: 1017</td>
</tr>
<tr>
<td><strong>Week 14</strong> (11/26-11/28)</td>
<td>Model Fit and Review</td>
<td>Last Exam given out, due Dec 5 at 11am</td>
<td></td>
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</tr>
</tbody>
</table>
Empirical Analysis I (4 credits): Fall 2015

Lecture 8: 11:15 ~ 12:30 Tuesday & Thursday Blegan 155
Lab 10: 2:30 ~ 3:45 Tuesday HHH 85
Lab 9: 1:00 ~ 2:15 Thursday HHH 85

Instructor & Teaching Assistants
Jason Cao, 295G Humphrey School, cao@umn.edu, 625-5671.
Office hour: 1:15-2:15 Tuesday and by appointment
Besides office hour, the best way to reach me is by email. Start with PA5031 and several-word summary of your questions in the subject. I may copy individual questions to all students in the class if they are common questions.

Greg Lewin (lewin040@umn.edu) and Man Xu (xuxx0460@umn.edu)
See Moodle site for TAs’ office hour

Course Objectives
The objectives of this course are to help you
- evaluate empirical evidence in the media and scientific articles;
- comprehend principles of probability theory and statistics, apply them in research or policy analysis, and infer policy implications from statistical analysis;
- understand basics of sampling and survey administration; and
- establish a foundation for advanced statistics and survey design.

In this section, we will use examples in urban and regional planning, as well as public policy. We will use Stata to analyze data on land use, transportation, and health in the lab.

Textbook

Both books will be on reserve in the Wilson Library. Other readings will be posted on the course web.

Teaching Styles
Research shows that students learn more and remember what they learn much longer when they are active participants in the learning process. Be ready to participate in group discussions, think-pair-share, in-class exercises, and so on. The goal of these strategies is to facilitate your learning through engagement.

Questions in Class
I strongly encourage you to ask questions. Framing questions is part of the learning process. Some questions I will answer right away, because it is important to clear up a confusing point that is critical to our topic. Some questions are ones to which I will be unable to give a clear answer immediately, without creating more confusion. I will think about those questions and answer in the next class. Thoughtful students also come up with a wide range of questions that are beyond what we are in class. You are welcome to ask such questions, but I may postpone the answer to later in the course or ask you to save the question for a more advanced course. This has nothing to do with your intelligence or ability to grasp concepts; rather, it has to do with the sequential nature of statistical learning.
Expectations
This class is demanding. It covers a lot of material at a pace that students describe as “relentless” or “frantic” or (more positively) “high energy.” It requires considerable effort and outside-of-class time. UM policy states that for each credit hour of a class, undergraduates are expected to work three hours – counting class time, lab time, and study time – to achieve an average grade. If we apply that policy to this graduate-level class, that means a work load of 12 hours per week for this class, implying at least 8 hours per week outside of class/lab. Count on it.
(see http://policy.umn.edu/Policies/Education/Education/TRUSTEEWORK.html)

The goal of the instructor and TAs is for every single student to succeed in this class. We expect you to work very hard on your own, with each other and with us, to accomplish this goal.

Grading

<table>
<thead>
<tr>
<th>Percentage</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>15+15%</td>
<td>Homework (five from lecture, five from lab)</td>
</tr>
<tr>
<td>20+20%</td>
<td>Exams 1 &amp; 2</td>
</tr>
<tr>
<td>10%</td>
<td>Lab quiz</td>
</tr>
<tr>
<td>10%</td>
<td>Multivariate analysis exam</td>
</tr>
<tr>
<td>10%</td>
<td>Lab participation</td>
</tr>
</tbody>
</table>

The homework is a deliberately sizable portion of your grade, as (1) it is in your best interests to do it and keep up, and (2) it helps take some of the stress off the exams, and can help bring up your final grade if you have difficulty with the time pressure of exams. Each question of textbook homework is worth 6 points, or 0.3 points of the final grade. Lab homework will be group-based. You are expected to work cooperatively in groups assigned by TAs. All group members are responsible for the quality of the homework. Only one grade will be given to each group. If your group is not working well for you, please talk to me or TAs as soon as possible. Personalities or schedules occasionally cause conflict that is no one’s fault. For all assignments, the penalty for each day of delay (1 minute to 24 hours) is worth 20% of the assignment grade. Lab quiz questions will be distributed at least one week before the quiz. You will not have access to quiz data until the quiz takes place.

A significant proportion of questions in exams will be adapted from textbook homework, textbook examples, and other review exercises. It is of your interest to work on those questions. The key to a decent grade is to show your work, not only the answers. Exams 1 and 2 will be tested twice. Specifically, each student will take the exams individually for 75 minutes on the exam day; then the group will be tested using the same questions for 25 minutes in the following lecture. The score of the individual exam accounts for 60% of your grade and the score of the group exam accounts for 40%. Open-book multivariate analysis exam questions will be distributed by email at 11:15 am on the examination day. Make sure to check your umn email. If you have any concern regarding exams, come to me before exams. No excuse will be accepted after the exams. Doctor’s note is required for make-up of the exams. There is no final exam.

To avoid free-ride, your group members will evaluate your participation in group discussion and assignments. The grade of group participation will be based on two confidential group evaluations (one at the midterm and the other at the final).

Web Sites
Some class materials will be available on class website. To access the class website:
2. Log in with your University of Minnesota Internet ID (X.500 username) and password.
3. Find the Moodle site link for PA 5031.
Stata Tutorials
Princeton add UCLA provide free tutorials via the internet
http://www.ats.ucla.edu/stat/stata/sk/default.htm
http://data.princeton.edu/stata

Course Policies
Academic Dishonesty: Students are expected to do their own assigned work. If it is determined that a
student has engaged in any form of Academic Dishonesty, he or she may be given an "F" or an "N" for
the course, and may face additional sanctions from the University. Academic dishonesty in any portion
of the academic work for a course shall be grounds for awarding a grade of F or N for the entire
course. See http://www1.umn.edu/regents/policies/academic/Student_Conduct_Code.html.

Diversity and Collegiality: This course draws graduate students from a variety of disciplines. This
diversity of academic experience, assumptions regarding learning, and ways of approaching problems
is one of the most enriching aspects of the course. In addition, every class is influenced by the fact that
students come from widely diverse ethnic and cultural backgrounds and hold different values. Because
a key to optimal learning and successful teaching is to hear, analyze, and draw from a diversity of
views, the instructors expect collegial and respectful dialogue across disciplinary, cultural, and
personal boundaries.

Student Conduct: Instructors are responsible for maintaining order and a positive learning
environment in the classroom. Students whose behavior is disruptive either to the instructor or to other
students will be asked to leave. Students whose behavior suggests the need for counseling or other
assistance may be referred to their college office or University Counseling and Consulting Services.
Students whose behavior may violate the University Student Conduct Code may be referred to the
Office of Student Judicial Affairs.

Sexual Harassment: University policy prohibits sexual harassment as defined in the University
Policy Statement (http://www1.umn.edu/regents/policies/humanresources/SexHarassment.html)
adopted on December 11, 1998. Complaints about sexual harassment should be reported to the
University Office of Equal Opportunity, 419 Morrill.

Accommodations for Students with Disabilities: Participants with special needs are strongly
encouraged to talk to the instructors as soon as possible to gain maximum access to course
information. All discussions will remain confidential. University policy is to provide, on a flexible
and individualized basis, reasonable accommodations to students who have documented disability
conditions (e.g., physical, learning, psychiatric, vision, hearing, or systemic) that may affect their
ability to participate in course activities or to meet course requirements. Students with disabilities are
couraged to contact Disability Services and their instructors to discuss their individual needs for
accommodations. Disability Services is located in Suite180 McNamara Alumni Center, 200 Oak Street.
Staff can be reached at http://ds.umn.edu or by calling 612/626-1333 (voice or TTY).

Student Mental Health: As a student you may experience a range of issues that can cause barriers to
learning, such as strained relationships, increased anxiety, alcohol/drug problems, feeling down,
difficulty concentrating and/or lack of motivation. These mental health concerns or stressful events
may lead to diminished academic performance or reduce a student's ability to participate in daily
activities. University of Minnesota services are available to assist you with addressing these and other
concerns you may be experiencing. You can learn more about the broad range of confidential mental
health services available on campus via http://www.mentalhealth.umn.edu/
Acknowledgements
Some sections/sentences were adapted from the syllabus of Dr. Mokhtarian of UC Davis and of Dr. Levison of the Humphrey School.

Lecture and Lab Schedule

WEEK 1
September 8: Introduction
   Introduction to course and LU-T data
September 10: Histograms
   Read Freedman et al, 3.1-3.3
Lab 1
   • Introduction to land use-transportation data
   • Introduction to STATA

WEEK 2
September 15: Types of variables, average, and standard deviation
   Read hand-out on scale of variables
   Read Freedman et al, 3.4, 3.9; Chapter 4
September 17: Uses of the normal curve
   Read Freedman et al, Chapter 5
Lab 2
   • Introduction to STATA
   • Histograms, mean, median, mode, range, and standard deviation

WEEK 3
September 22: Percentiles and inequality
   Read Freedman et al, Chapter 5
September 24: Measurement error, scatter diagrams and correlation coefficient
   Read Freedman et al, Chapters 6, 7, 8.1, 8.2, 8.4, 8.6, and 9.1
Lab 3
   • Review exercises: Chapters 3, 4, and 5

WEEK 4
September 29: Simple regression
   Read Freedman et al, Chapter 12.1
October 1: OLS and the r.m.s. error for regression
   Read Freedman et al, Chapter 11.1, 11.2
   Read hand-out on OLS (equations are optional)
Lab 4
   • Review exercises: Chapters 6, 8, 9, 11, and 12

WEEK 5
October 6: Regression diagnostics
   Read Freedman et al, Chapter 11.3-11.5
   Read handout on diagnostics
October 8: Experiments and observational studies
   Read Utts Chapter 5.1, 5.2, 5.4
   Read Freedman et al, Chapters 1.1, 1.2, 1.4 and 2
Lab 5
- Scatter plots and correlation coefficients

WEEK 6
October 13: Probability
  - Read Dr. Levison’s summary
  - Read Freedman et al, Chapter 13 (not including 13.5) and 14
October 15: Binomial Formula, Law of averages, box models, expected value, standard error,
  - Read Freedman et al, Chapters 15, 16, and 17
Lab 6
- Linear regression and diagnostics

WEEK 7
October 20: Central Limit Theorem, use normal curve
  - Read Freedman et al, Chapters 17 and 18
October 22: Exam 1 (covering Weeks 1-5)
Labs 7 & 8
- Review exercises: Chapters 13-18

WEEK 8
October 27: sample surveys and survey methods and chance errors in sampling
  - Read Freedman et al, Chapters 19 and 20
  - Read Utts, 4.2, 4.4-4.6
October 29: Accuracy of percentages, confidence intervals and accuracy of sample averages,
  - Read Freedman et al, Chapters 21 and 23
  - Read web links on margin of error
Labs 7 & 8
- Review exercises: Chapters 13-18

WEEK 9
November 3: Current Population Survey and how to conduct a poll
  - Read web links and Freedman et al, Chapter 22 (pp. 395--405, 407--408).
November 5: Null & alternative hypotheses, Z- and t-tests of significance
  - Read Freedman et al, Chapter 26
Lab 9
- Review exercises: Chapters 20-23

WEEK 10
November 10: Significance tests for differences in averages
  - Read Freedman et al, 27.1, 27.2, 27.5, 27.7
November 12: Chi-square test
  - Read Freedman et al, 28.1, 28.2, 28.4-28.6
Lab 10
- One sample test
- Independent sample test
- Paired sample test

WEEK 11
November 17: Multivariate OLS regression
November 19: Multivariate OLS  
    Read Ritter (2010) Section 4

Lab 11
    • Chi-square test
    • Review exercises: Chapter 26-28

WEEK 12,
November 24: Exam 2 (covering Week 6-10)  
November 26: Thanksgiving
    • No lab

WEEK 13
December 1: Multivariate OLS
    Multicollinearity
    Read Ritter (2010) Sections 4 and 5
    Hersch and Straton (1995)
December 3: Multivariate OLS
    Read Ritter (2010) Sections 6, 7 and 11

Lab 13
    • Multiple regression

WEEK 14
December 8: What educated citizens should know about statistics and probability
    Read Utts (2003) and Ziliak and McCloskey (2004)
    Read Freedman et al, Chapter 29
December 10: Multivariate analysis mock exam

Lab 14
    • Lab quiz

WEEK 15
December 15: Multivariate analysis exam
    • No lab
**Important Dates:**

Solutions to lecture homework are available on the Moodle site.

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<tr>
<th>Items</th>
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<tr>
<td>Lab Assignment 1</td>
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<td>Sept. 22/24 in lab</td>
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<td>Homework 1</td>
<td>Chapter 3: 8.2, 8.4 on pp. 50-52</td>
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<td>Chapter 9: Exercise Set A 6 on p. 143</td>
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<td>Homework 3</td>
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<td>Homework 4*</td>
<td>Chapter 20: 6.3, 6.4, 6.7 on pp. 371-372</td>
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<td>Chapter 21: 6.5 on pp. 392</td>
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<td>Chapter 23: 5.3, 5.4, 5.10 on p. 426-427</td>
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<td>Lab Assignment 4</td>
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<td>Homework 5 *+</td>
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<td>Lab Assignment 5</td>
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<td>Lab Quiz</td>
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<td><strong>Dec. 8/10 in lab</strong></td>
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<tr>
<td>Open-book exam</td>
<td>Multivariate regression</td>
<td>11:15-1:00 on Dec. 15 by email to Cao</td>
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* You are not able to get feedbacks from TAs before exams. Please check the solutions of these questions to make sure you understand how to address them. If you have questions, please visit me or TAs during office hour.

*+ when answering these questions, please follow the steps we discussed in the class.
PA 5031 – EMPIRICAL ANALYSIS I – Draft syllabus
(Statistics)

PA 5031, Lecture section 001 – Fall Semester 2015 – 4 credits
Tuesdays and Thursdays 11:15-12:30 p.m., Blegen Hall 235
You must attend the lab for which you have registered:
  Lab 003 – Fridays 9:45-11:00 in HHH 85 (attendance required)
  Lab 002 – Fridays 11:15-12:30 in HHH 85 (attendance required)

Final Exam: December 18 . . . DON’T leave town early!

Professor Deborah Levison
Office hours: Wed 9:45-11 & Thurs 9:00-10:15 a.m.
You are welcome to request an appointment to see me at other times; I will do my
best to find a meeting time that will work for both of us.
Office: 266 Humphrey Center, phone 612-624-3540, e-mail DLevison@umn.edu

Teaching Assistants:
  Ana Heck – heck046@umn.edu
  Ash KaneRisman – kaner021@umn.edu
Office hours in cubicle by office HHH 266: to be announced

Course Objectives:

This course is intended • to provide familiarity with statistical terminology used on
an everyday basis in the policy arena as well as the popular media; • to provide an
understanding of the methodology behind the numbers; • to enable students to use
basic statistical techniques in the course of research or policy analysis; • to teach
students to critically interpret statistical results; and • to encourage students to
think about implicit assumptions about numbers that affect our work, public policy
decisions, and our lives. In particular, I want students to think about how statistics
can be used to shed light on – or hide and even enhance – positions of power and
 privilege in societies.

Expectations:

This class is demanding. It covers a lot of material at a pace that students
describe as “relentless” or “frantic” or (more positively) “high energy.” It requires
considerable effort and outside-of-class time. UM policy states that for each credit
hour of a class, graduate students are expected to work more than three hours –
counting class time, lab time, and study time. If we apply that policy to this class, that means a work load of more than 12 hours per week for this class – at a minimum – implying at least 8 hours per week outside of class/lab. Count on it.

Students are expected to accomplish multiple assignments every week, including a considerable amount of reading. However, this means that no one assignment carries a very large weight in determining the final grade, and students are not given an opportunity to fall behind. In order to succeed in this class you will need to do the reading and other assignments, attend class and lab, and ask questions—in class and/or in office hours. The goal of the instructor and the teaching assistants is for every single student to succeed in this class. We expect you to work very hard on your own, with each other, and with us, to accomplish this goal.

Humphrey students are hard-working, intelligent, and dedicated students. Because of this, students will sometimes be frustrated in this class. For example, some students are uncomfortable with a quantitative approach. They may require more time, and more effort, to consolidate and integrate various statistics concepts into a coherent whole. I find that students who feel that they “haven’t quite got it” but are persistent often put these pieces together while studying for the final exam.

For another example, students want answers to their questions right away, because they are used to grasping complicated concepts without problem. However, many statistics topics build sequentially on prior topics, making it counterproductive in some cases to discuss concepts for which the building blocks are not in place.

Questions in class. I strongly encourage you to ask questions in class. Framing questions is part of the learning process. The following indicates how I will answer questions. Some questions I will answer right away, because it is important to clear up a confusing point that is critical to our topic. Some questions are ones to which I will be unable to give a clear answer immediately, without creating more confusion. I will think about those questions and answer in the next class.

From year to year, thoughtful students come up with a wide range of questions that are beyond where we are in class. You are welcome to ask such questions, but I may then postpone the answer to later in the course or ask you to save the question for a more advanced course. This has nothing to do with your intelligence or ability to grasp concepts; rather, it has to do with the sequential nature of statistical learning.

Unfortunately the amount of material we are required to cover in this class leaves little time for full-class discussions.

Getting your attention. My teaching style includes having breaks from lecture in class, during which students talk in pairs or in small groups. At these times the noise level rises substantially. I will signal the end of the “break” by clapping or ringing a bell. Students have complained about this, writing that it implies disrespect for them – “treating them like first-graders” – but I have not yet found
a good alternative. I have a small voice, and if I strain my voice in class this often results in laryngitis. Suggestions welcome.

Teaching philosophy. Research shows that students learn more and remember what they learn much longer when they are active participants in the learning process. I use “active learning” methods in my teaching. Active learning is an approach to instruction in which students engage the material they study through writing, reading, talking, listening, and reflecting.

Electronics in class. You may use your laptop computer in class for note-taking or (rarely) looking up answers to questions that come up in class. You may not use it for checking email or Facebook or anything else. It’s very tempting – and also very rude, not to mention detrimental to your education. First offenders are asked to turn off the computer for the class. Second offenders are required to keep computers put away for the rest of the semester. Similarly, mobile phones and the like may kept on and visible by people with small children or similar responsibilities (but tell the instructors); everyone else is expected to keep their electronics out of sight and out of hearing.

Recording lecture and/or lab. Recordings may not be taken without permission. Even if permission to make recordings for personal use has been granted, students are forbidden from distributing recordings to others or posting them to the web.

Posting to the web. In the past, I have never posted my notes to the web. Occasionally I am willing to post what I wrote in class – maybe a few times per semester. Please share notes with your classmates, and be aware that TAs will also be taking notes, which you may look at during TA office hours. I am willing to post hand-outs; if I forget, feel free to remind me.

Instructor limitations. I have irreparable nerve damage in my arms/shoulders, apparently due to “overuse”: many years of long hours in bad computer workstations or hand-writing. I welcome assistance in lifting, carrying, and door-opening. It is not possible to teach stats without writing, so I write on a tablet where a pen creates minimal friction. Sometimes my chronic pain means that I am unable to grade assignments as quickly as I would prefer, but know that I am doing my best. I am one of many people with invisible limitations and disabilities; if you are another, please feel free to let me know.
Course Requirements:

**Attendance** at lecture, lab, and group meetings is required. We aim to start each class/lab on time, and we need your cooperation to achieve this goal. It is better to be late than miss a class, but chronic lateness or multiple absences will reduce your grade. If you are late or miss class, it is your responsibility to find out what you missed.

Students are expected to complete the **assigned reading** and to work the assigned exercises before the class or lab for which they are assigned. The primary textbook is by Freedman, Pisani, and Purves (sometimes called FPP). Other readings are used to provide examples and to remind you why it is important for people working on public policy to learn statistics.

**Problems in FPP.** Students are expected and required to work the “Exercise Sets” in Freedman et al as they read the text; answers are given in the back of the book, and these problems will not be collected or graded. Additional problems will be assigned or suggested from the “Review Exercises” at the end of each chapter; some of these will be collected.

**Reports and other assignments** may require calculations by hand or using a calculator, computations using Stata statistical software on a computer, and/or written analyses. Reports will involve using Stata to manipulate data about Brazilian youth or rural Tanzanians and interpret results; technical expertise is essential for good grades, although creativity in thinking about how to use statistics plus Stata to answer questions is encouraged and rewarded.

*Students have complained that I do not tell them exactly what I want them to do in their Reports.* Many of you want step-by-step instructions so you can get the “right” answer the first time. However, in statistical analysis, while there is correct/incorrect usage of statistical language and techniques, often there is no one correct answer. Different answers emerge from different ways of examining the data. If I give too many instructions, then I am not doing my job – teaching you how to think for yourselves using Stata. You are welcome to come to my office hours to ask for advice or suggestions about Reports, but some ambiguity will always exist.

I don’t expect you to turn in perfect Reports. Learning by doing always involves making mistakes, and learning from them. Don’t expect to get an A on Reports, although it is a worthy goal.

Here are some general tips about what I want: It is important that you learn how to communicate empirical analyses and their meaning clearly. Therefore, the presentation of your discussion—content, structure (including brief introductions and conclusions), grammar, and spelling of written answers—is taken into account in the grading of reports. How to use statistical language to correctly present your results is part of what you will learn-by-doing; this is my main goal for you,
although thinking creatively using Stata will be rewarded. Statistical output should be edited to eliminate all unnecessary information, and the output (tables, figures, etc.) should then be incorporated into the written answers to the reports.

Because of my hand/arm injuries, I may speak the kinds of comments that I used to write, then upload the comments to the web.

Keep a back-up (2nd) copy of each file on the HHH network. An assignment lost due to a technological problem will be given a zero.

Short quizzes will be given almost every week, beginning with Week 2, in class and/or lab. Quizzes are cumulative: topics covered before the class in which the quiz occurs may be included. Bring a calculator on quiz days. Using your mobile phone’s calculator is not allowed. After you complete your individual quiz, you will take the same quiz again, with your group. This is a good opportunity to learn from your group’s members. If the group quiz takes place the day after the individual quiz, then you will have time to consult your notes, the text, and other class members about any questions you may have. The TAs and I, however, will not answer questions about material on the quiz between the individual and group quizzes. Your final grade for the quiz will be based on both your individual quiz (75%) and the group quiz (25%).

The lowest quiz grade for each student will be dropped before the final grade is calculated. (Only the Stata quiz grade is excepted: that one cannot be dropped.) Therefore, I am very reluctant to give make-up quizzes for students who miss a quiz, even for legitimate reasons.

While many students find frequent quizzes helpful, other students find weekly quizzes very stressful. If you think that a weekly quiz will impede rather than support your learning, you should consider taking another section of PA 5031.

There will not be a midterm exam, but there will be a final examination.

Base groups. Students are expected to work cooperatively in groups assigned by the instructor. This is a required part of the course. Each student will be assigned to a base group that will exist throughout the course. Base groups are expected to meet outside of class on a regular basis, for 1-3 hours most weeks. Research indicates that this is a particularly effective way of learning in general, and it is even more useful in a course like statistics where student anxiety is often high. In addition, knowing how to be an effective group member is an important skill for anyone in the public policy arena. Students will grade each other on group preparation and participation. I suggest that each group set its own group norms at the beginning of the semester.

If your group is not working well for you, come talk to me as soon as possible. Personalities or schedules occasionally cause conflict that is no one’s fault. I am
usually able to re-arrange group membership in a way that leaves everyone better off. In general, I reserve the right to move students from one group to another in an effort to improve individuals’ learning.

For 5 points, send the first TA listed above an email saying, “I read the syllabus” by 5 pm on Friday of Week 1. Do not mention this to others in the class; it is their job to find it by themselves.

**Mental health.** As a student you may experience a range of issues that can cause barriers to learning, such as strained relationships, increased anxiety, alcohol/drug problems, feeling down, difficulty concentrating and/or lack of motivation. These mental health concerns or stressful events may lead to diminished academic performance or reduce a student’s ability to participate in daily activities. University of Minnesota services are available to assist you with addressing these and other concerns you may be experiencing. You can learn more about the broad range of confidential mental health services available on campus via the Student Mental Health Website at [http://www.mentalhealth.umn.edu](http://www.mentalhealth.umn.edu).

**Disabilities.** It is University policy to provide, on a flexible and individualized basis, reasonable accommodations to students who have disabilities that may affect their ability to participate in course activities or to meet course requirements. Students with disabilities are encouraged to contact their instructor early in the semester to discuss their individual needs for accommodations. Accommodations must be arranged in advance. Further information is available from Disabilities Services (230 McNamara).

**Academic integrity.** Academic integrity is essential for a positive teaching and learning environment. All students enrolled in this course are expected to complete course-related responsibilities with fairness and honesty. Failure to do so by seeking unfair advantage over others, by misrepresenting someone else’s work as your own, or by another kind of scholastic dishonesty can result in disciplinary action, including receiving an F or an N for the course. Scholastic misconduct is broadly defined as any act that violates the right of another student in academic work or that involves misrepresentation of your own work. Scholastic dishonesty includes, (but is not necessarily limited to): cheating on assignments or examinations; plagiarizing, which means misrepresenting as your own work any part of work done by another; submitting the same paper, or substantially similar papers, to meet the requirements of more than one course without the approval and consent of all instructors concerned; depriving another student of necessary course materials; or interfering with another student’s work.

University policy prohibits sexual harassment as defined in the December 1998 policy statement, available at the Office of Equal Opportunity and Affirmative Action. Questions or concerns about sexual harassment should be directed to this office, located in 419 Morrill Hall.
Humphrey Grade Requirements. Students must earn a grade of C or better (not C-) for a required course to be counted towards their degree. Those with C- or less will need to re-take PA 5031. This is the link to the full Humphrey policy:

http://www.hhh.umn.edu/students/policies/minimum_grades.html

Incompletes. This course follows the Humphrey School policy regarding incompletes. An incomplete will only be granted after the Professor and the student have mutually agreed upon a timetable (written contract) for completion of coursework. An incomplete must be requested in advance, and the Humphrey Institute incompletes form must be filled out. A link is to the form is provided on the web.

Blind Grading. The instructor and teaching assistants use “blind grading” strategies. We do this because humans are very vulnerable to bias. Unconsciously, we may be more lenient (or more stringent) in our grading towards students we feel have worked hard (or not), for example. We will ask you to put your name on the back of all your quizzes and reports, on an otherwise blank page. (Please write your name at the top of the page; this will help us as we return graded papers to everyone.)

Final grades. These weights in percentages are approximate since your final grade will depend in part upon your performance relative to an absolute standard, as discussed in class. Your performance relative to other students in the class will also be used, as an indicator of your relative understanding of statistics.

Approximate grade breakdown:

- 5% Class, lab, and Moodle preparation and participation
- 5% Group preparation and participation
- 25% Problem sets and Reports
- 45% Quizzes
- 20% Final exam

Required books:


There will not be a coursepack for this class. Instead, required readings that are not in Freedman et al will be available via our class web site.
Class website:

Some class materials will be available on a class website, using the University’s Moodle software. Moodle is designed to work with the Firefox browser; if you use another browser, part of the page may be invisible to you. To access the class Moodle site:

1. Go to https://ay15.moodle.umn.edu and click on the login button.
2. Log in with your University of Minnesota Internet ID (X.500 username) and password.
3. Scroll down to find “PA 5031 Empirical Analysis 1 (sec 001-003) Fall 2015.”
4. Click on the course name link and you will be sent directly to the class website.

Information on Stata software:

The Humphrey Institute has Stata 12 IC in its labs. Therefore, you do not need to buy Stata. However, if you want to have it at home, the Office of Information Technology (OIT) has a link that sends you directly to a reduced Direct-Ship GradPlan pricing website. Don’t buy the Small Stata version as it can only be used with data with 1200 or fewer observations, which is too few. The Stata IC version is sufficient, though you may consider spending more for a perpetual license rather than a single-year or six-month license. The Stata IC with a perpetual license costs about $200. This is a great deal considering that commercial pricing through the Stata website is usually more than three times that amount.

The OIT link (also on our class web site) is http://www.oit.umn.edu/technology-products/- click on Mathematics & Statistics on the left, narrow results by clicking on the letter S, click on the Stata GradPlan (Method Number 3) link.

Other Stata resources:

Students are not required to buy a Stata book. A number of books about how to do statistics with Stata are available; you are welcome to buy one of them. However, all required Stata skills are taught in lab and most are included on lab hand-outs. Moreover, there are free Stata tutorials available via the internet (see the class web site), including the following from Princeton and UCLA at:

http://www.atstat.cals.princeton.edu/stat/stata/sk/default.htm
http://data.princeton.edu/stata/

It is now possible for most people to access files and software on UM servers using VPN software. Information about how to set this up is on the class website, but we don’t promise that it is up-to-date.
Other Resources for Success:

Center for Writing’s Student Writing Support. Student Writing Support provides free writing instruction for all University of Minnesota students - graduate and undergraduate - at all stages of the writing process. They help students develop productive writing habits and revision strategies via in-person consultations. See writing.umn.edu.

Other statistics-related references:


Kennedy, Peter *A Guide to Econometrics*, latest edition, Cambridge, MA: MIT Press. This paperback is well-known by students of econometrics for its intuitive explanations. It may be of use to you during and after Empirical Analysis II.
WEEK 1, September 8: Introduction
Introduction to course. Read pages 1-10 of this syllabus.
Survey of students.

WEEK 1, September 10: Experiments & observational studies
Read Freedman et al, Preface (pp. xiii–xiv); Chapter 1 (pp. 3–11); Chapter 2 (pp. 12–24).
Watch video: Introduction to instructor’s teaching philosophy and group work (9:30 minutes).
Take short online quiz following video.
Report 7 assignment discussed. (Due date depends on group assignment.)

WEEK 1 LAB, September 11: Introduction to Stata and Brazil data
Information on data and codebook handed out.
Stata basics: units of observation, mean, median, mode
Tour of Moodle web site.

WEEK 2, September 15: Histograms
Read Freedman et al, Chapter 3, sections 1–3 (pp. 31–42).
Listen to a 14-minute podcast on “bad apples” in group work. It’s on the class web site under Required Readings.
Watch video: The process of taking weekly individual & group quizzes (4:07 minutes)
Reading on inequality measures will be handed out.
Problem Set 1 (individual) due: FPP Ch.2 Review Exercises #1, 2, 3, 4, 9, 10, 11. 
These are the problems at the END of the chapter, pp. 24-27
Answers to FPP Chapter 2 review exercises made available.
Base group assigned.
WEEK 2, September 17: Types of variables, crosstabulations

Read Freedman et al, the rest of Chapter 3 (pp. 42–49). Seife, pp. 40-44 and 54-56. Optional: listen to an interview of Charles Seife (podcast).

Problem Set 2 (individual) due: FPP Ch.3 review exercises #1-8 and 12 (pp. 50-55). Quiz – individual and maybe base group.

WEEK 2 LAB, September 18: Introduction to Stata

Base group quiz (maybe). Stata basics: reading data, selecting a sub-sample, descriptive statistics, saving output, creating variables, using labels, using Stata output in Word.

WEEK 3, September 22: Crosstabs, average, r.m.s., standard deviation

Read Freedman et al, Chapter 4 (pp. 57–74, 76–77).
Individual/base group recommended FPP review exercises: Ch.4 #1, 2, 4, 6, 7, 12. Watch video: Calculating a standard deviation (7:30 minutes).

Problem Set 2 (base group) due: FPP Ch.3 review exercises #1-8 and 12. Answers to FPP Chapter 3+ review exercises made available. Report 1 assignment (base group, using Stata) handed out.

WEEK 3, September 24: Brazil/Tanzania data, uses of the normal curve

Read Freedman et al Chapter 5 (pp. 78–93, 96).
Be sure to bring your data codebook to class. Do you understand what each variable tries to capture? Quiz – individual only.

WEEK 3 LAB, September 25: Descriptive statistics

Base group quiz. Stata: creating & recoding variables, histograms, 2- and 3-way crosstabulations.
WEEK 4, September 29: Percentiles, inequality measures, chance errors, outliers, bias
Read hand-out on inequality measures.
Read Freedman et al, Chapter 6 (pp. 97–104, 108–109). I will be assuming that you already know the content of Chapter 7 (pp. 110–116); review it on your own if necessary.
Individual/base group recommended FPP problems (pp. 104-108): Review Exercises #4; Special Review Exercises #3, 4, 6, 7, 10, 12, 13.

WEEK 4, October 2: Scatter diagrams, the correlation coefficient
Read Freedman et al, Chapter 8 (pp. 119–134, 139–140) and Chapter 9 (pp. 141–153, 157).
Individual/base group recommended FPP review problems: Ch.8 #1, 2, 3, 7, 8, 9a, 9c; and Ch.9 #1, 2, 4, 6, 7, 8, 12.
Watch video: Calculating a correlation coefficient (8:30 minutes).
Reading on probability handed out.
Quiz—individual only.

WEEK 4 LAB, October 9
Base group quiz.
Stata: scatterplots, correlation coefficients, crosstabs.

WEEK 5, October 6: Association vs. causation, bivariate regression & the method of Least Squares
Read Freedman et al, Chapter 10 (pp. 158–175, 178–179); Chapter 11, sections 1, 2, and 7 (#1–4) (pp. 180–187, 201).
Individual/base group recommended FPP review problems: Ch.10 #1, 4, 6, 7, 8; Ch.11 #1, 2, 3, 6, 8, 12.
Report 1 (base group, using Stata) due.
Report 2 assignment handed out.

WEEK 5, October 8: Finish simple regression
Individual/base group recommended FPP review problems: Ch.12 #1, 2, 3, 7.
Watch video: Your boss won’t give you a rubric (3 minutes).
Quiz, individual and maybe group.

WEEK 5 LAB, October 9
Base group quiz (maybe).
Resume reading under Table 4, at “Column 3 examines . . .”
Stata: scatterplots, simple OLS (bivariate) regression.
Time to work on Report 2.
WEEK 6, October 13: Probability, the law of averages, chance process, box models

Read hand-out summarizing FPP Chapters 13, 14 and 15. Then read it again, and study it!
Read Freedman et al, Chapter 16 (pp. 273–285, 287).
Indiv./base group recommended FPP review problems: Ch.16 #1, 2, 5, 6, 7, 8, 9.
Report 2 (base group, using Stata) due.
Report 3 assignment (individual) handed out.

WEEK 6, October 15: Expected value, standard error, normal curve

Read Freedman et al, Chapter 17 (pp. 288–304, 307).
Indiv/group recommended FPP review problems: Ch.17 #1, 2, 4, 9, 11, 12, 13.
Quiz – individual only.

WEEK 6 LAB, October 16

Base group quiz.
Stata: producing, interpreting, and reporting your results; xtiles. Evaluation of group members (not counted in final grade).

WEEK 7, October 20: Normal approximation for probability histograms, (Central Limit Theorem)

Read Freedman et al, Chapter 18 (pp. 308–327; 329–330).
Individual/base group recommended FPP review problems: Ch 18 #1, 2, 3, 5, 6, 8, 12.
Reading on the chi-square test handed out.
Reading on opinion polls handed out.

WEEK 7, October 22: Sample surveys, parameters vs. statistics, bias, chance error

Read Freedman et al, Chapter 19 (pp. 333–351, 353–354).
Individual/base group recommended FPP review problems: Ch.19 #1, 2, 4, 5, 9.
Review Kelman reading from Week 1 - it may be useful for discussion.
Watch video: Causes of bias in samples (17:30 minutes).
Quiz – individual only.
WEEK 7 LAB, October 23
Base group quiz.
Stata: review of regression.
Time to work on Report 3.

WEEK 8, October 27: Chance errors in sampling, standard error, accuracy of percentages, confidence intervals
Read Freedman et al, Chapter 20 (pp. 355–371, 373–374); Chapter 21 (pp. 375–391, 394).
Individual/base group recommended FPP review problems: Ch.20 #1, 3, 6, 11, 12; and Ch. 21 #2, 3, 5, 6, 7, 8, 12.
Report 3 (individual, using Stata) due.
Report 4 handed out.

WEEK 8, October 29: Current Population Survey, measures of employment, crosstabs and the chi-square test
Read Freedman et al, Chapter 22 (pp. 395–405, 407–408).
Individual/base group recommended FPP review probs: Ch.22 #1, 5, 8, 9, 12.
Quiz, individual and maybe group.

WEEK 8 LAB, October 30
Group quiz?
Stata: 3-way crosstabs, chi-square test (ρ).

WEEK 9, November 3: Accuracy of sample averages, statistical inference
Read Freedman et al, Chapter 23 (pp. 409–425, 436–437); and Chapter 24, section 4, paragraphs 2 and 3 only (pp. 454–455).
Individual/base group recommended FPP review problems: Ch.23 #1, 3, 4, 5, 7, 10, 12; and Ch.24: none.

WEEK 9, November 5: Begin tests of statistical significance
Hand-out: Thinking about 1-tailed Tests.
Quiz – individual only.
WEEK 9 LAB, November 6
Group quiz.
Stata: Using weights.

WEEK 10, November 10: Null & alternative hypotheses, x Z- and t-
Tests of significance
Read Freedman et al, Chapter 26 (pp. 475–495, 500).
Individual/base group recommended FPP review problems: Ch.26, #1, 6, 8, 10.
Report 4 (base group, using Stata) due.

WEEK 10, November 12: Tests of significance
Read and study hand-out on 1-tailed tests.
Individual quiz.

WEEK 10 LAB, November 13
Group quiz.
Stata: 1-sample tests.
Report 5 assignment handed out. This is an individual (not group) report on
crosstabulations.

WEEK 11, November 17: Significance tests for differences in averages
Read Freedman et al, Chapter 27, sections 1, 2, 5 & 7 (pp. 501–508, 517, 521–522).
Individual/base group recommended FPP review problems: Ch. 27 #1, 2, 3, 4, 10.

WEEK 11, November 19: Significance tests for differences in percent-
ages
Continue examples of tests for statistically significant differences.
Quiz.

WEEK 11 LAB: November 20
Group quiz (maybe).
Stata: 2-sample tests, paired-sample tests and chi-square tests.
Evaluation of group members (part of group participation grade); form available on
web.
WEEK 12, November 24: Chi-square test (again), independence vs. association, data snooping, significance vs. importance

Note: FPP Chapter 28 is not assigned. Refer to the hand-out. Read Freedman et al, Chapter 29 (pp. 545–563, 576).
Individual/base group recommended FPP review probs: Ch.29 #1, 2, 5, 7, 8, 12.
Report 5 (individual, using Stata) due.

November 26 and 27 are the Thanksgiving holiday.

WEEK 13, December 1: Multivariate OLS regression, $R^2$

Review Freedman et al, Chapters 10, 11, and 12, on regression.
Quiz – individual and group.

WEEK 13, December 3: Interpreting multivariate OLS

Report 6 (individual only, but can confer with group) handed out.
Review of Crossen book handed out.

WEEK 12 LAB, December 4

Summary of Studenmund (Empirical Analysis II) notation handed out.
Stata: multivariate OLS, including dummy variables.

WEEK 14, December 2: Multivariate OLS, $F$ tests


WEEK 14, December 4: Multivariate OLS

Report 6 (individual, using Stata) due. To be corrected in class.
Practice “test” – given OLS results, interpret them.
No quiz.
WEEK 14 LAB: December 5

Quiz, individual, on using Stata. Open notes. (No group quiz.)
Course evaluations.

WEEK 15, December 9: Ethics of statistics

Read review of Crossen’s Tainted Truth. (hand-out)
Class discussion on the ethical use of statistics.

Finals: December 17–23

The final exam for PA 5031, Section 1, will take place on Friday, December 18, from 1:30 to 3:30 P.M. The final will take place in our usual classroom. I would like to allow students extra time, so no one will be rushed, and will request permission to add one hour to our final exam time period.

— WARNING: Assignment dates are not carved in stone! Changes happen. —
SPEA-V 502 PUBLIC MANAGEMENT  
(Section 10908)

**Instructor:** Dr. Thomas Rabovsky  
**Time:** Fall 2014, Tuesdays and Thursdays 11:15 am - 12:30 pm  
**Location:** PV 278  
**Office:** SPEA 415  
**Email:** rabovsky@indiana.edu  
**Office Hours:** 12:30 pm – 1:30 pm Tuesdays and Thursdays or by appointment

This syllabus includes administrative information, answers to questions you might have about the course, and an explanation of the ways your class performance will be assessed. The course schedule and the reading assignments are provided at the end of the syllabus.

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**COURSE DESCRIPTION**

This introductory survey course introduces the discipline and profession of public management, and provides students with an understanding of the institutional, political, organizational, and ethical context of public management. Students will gain an overview of the central issues and dilemmas facing the contemporary public manager. By the end of this course, the student should have a good foundation in the theory, practice, and skills of managing public organizations. The student should also be able to understand the current trends and changes in American governance, as well as the effect of these changes, on the public manager. All of the issues we discuss will expose you to essential knowledge for managing in the 21st century and improve your ability to manage public organizations.

**REQUIRED READINGS**


All other readings and cases are available on Oncourse on the Resources tab.

**COURSE STRUCTURE**

The course will emphasize discussion with some lecture. I organize the course as a seminar with all students taking part in presenting and discussing the course materials. Readings and lectures will orient students to basic concepts and research that inform our thinking on public management. Each student is responsible, through self-study, reading assignments, cases, and class interaction, to learn relevant public management theory, concepts, and applications. I will introduce the pertinent subject matter, but you will be expected to actively participate in the discussion.
COURSE OBJECTIVES
By the end of the semester you should be able to:

1. Describe the main theories and applications associated with the field of public management.
2. Describe what makes public management different from private management
3. Identify strategies for formulating and achieving public management objectives.
4. Describe and understand theories of organizational change and their application to public management.
5. Describe and understand theories of work motivation and their application to public management.
6. Describe and understand the relationship between organizational structure and outcomes
7. Understand the key forces that drive change and the flexibility and adaptability that are essential attributes for implementing change.
8. Use theories and frameworks in understanding the practical challenges associated with public management.
9. Analyze situations that involve interaction between the public, private, and nonprofit sectors in solving social problems, and to work collaboratively with those individuals and institutions in coming up with strategies for managing these social problems.
10. Identify the factors that motivate the economic and political behavior of various agents in society (and across the sectors) and use this information in planning, strategizing, and decision making.
11. Understand how organizations operate and work together to gain an understanding of the broader organizational environment.
12. Understand collaborative leadership, leadership styles, and their impact on organizations and employees.
13. Understand the ethical dilemmas faced by public managers.

COURSE COMPETENCIES

Contributing to Class Discussion
Much of the learning that takes place in a class like this occurs as a result of classroom discussion. Contributing to a positive learning environment has a different meaning than that traditionally associated with excellent participation. Students who contribute to a positive learning environment will take personal responsibility for the overall quality of the classroom discussion. In an operational sense, a student contributes to a positive learning environment by

- Being an active participant, but not a dominating participant.
- Being a good listener and demonstrating respect for others’ opinions.
- Making thoughtful, insightful comments, and not speaking just to be heard.
- Building on others’ comments.
- Asking questions, not just giving answers.
- Identifying key assumptions underlying discussion points and arguments.
- Being constructive and positive in one’s comments.
You are expected to read and comprehend all of the required readings. All assignments and examinations will focus on lectures, cases, in-class exercises, readings, and discussions.

**Writing**
Your writing skills should be polished. If your writing skills are not at the graduate level you will have problems with this course.

You should be able to synthesize key readings.

You should be able to organize your thinking and your writing.

**COURSE DELIVERABLES**

**Case Analyses**
Case work is a key element of your course responsibility. The purposes of this component of your grade are to (1) expose you to real situations where particular public management issues must be addressed, (2) provide an opportunity for you to offer rich and thoughtful insights and recommendations, and (3) demonstrate the value of thinking analytically about a management problem. All cases are found in Oncourse.

The written case analyses will assess a specific situation and identify the general management issues raised by the case study. Analysis means that you draw out pertinent issues from the case. It does not mean you rehash the facts of the case. It certainly may be necessary to use the facts of the case to illustrate or support your analysis, but your written report should assume that the reader of the report is familiar with the case. The case analysis report is not a decision memo as much as it is an opportunity to apply your knowledge of public management to the specific situation.

The written case analysis should be presented in a professional manner. All assignments must be typed in 12 pt. font, double-spaced, and paginated (page numbers). Papers should be stapled in the upper left-hand corner. Please do not use folders, binders, or clips. The analysis should be written as a narrative, not as a bulleted memo. Each report will be approximately five pages in length, although if all issues are addressed adequately and thoroughly, the final length of the report is not too important. The grade for each analysis will be determined in part by the clarity, style, and grammatical accuracy of your writing.

The case analysis report should begin with a brief summary paragraph of the case and the general management issues it raises. The remainder of the report should address, in essay form, the specific questions to be distributed to you in advance of the case analysis due date. These questions will be posted to Oncourse.

Case studies will be graded on three criteria: (1) **Analytical**: the thoroughness and quality of your analysis and recommendations, including your grasp of the issues involved; (2) **Use of course material**: the extent to which you applied course material to the situation and demonstrated your understanding of the material; and (3) **Stylistic**: the quality of your written presentation, including the care you have taken to edit for grammar and spelling in your papers.
You will choose the case for your written analyses. There are four cases with defined due dates (shown below and later in the syllabus), from which you will select one. These selections are at your discretion, but you must **e-mail me directly by Thursday, September 11** to tell me which of the cases you will analyze. The four cases for which you can write a paper are noted in the syllabus with three asterisks.

The five cases and their defined due dates are as follows:

1. The Columbia Accident. (September 16\(^{th}\))
2. The Decision to Go to War with Iraq. (October 14\(^{th}\))
3. The CitiStat Experience of Two Baltimore City Agencies (November 4\(^{th}\))
4. The Case of Joe the Jerk (or, the Very Capable Jerk) (December 4\(^{th}\))

**Contracting Exercise**

In addition to the case memo, every student must complete the contracting exercise on **November 18.** This assignment is discussed in greater detail in the schedule section and consists of both an out of class component (you are to construct a contract along with a brief memo outlining the basic goals of your contract prior to the class meeting), along with an in-class activity. Your written materials are due in class on the day of the activity, and participation in the activity is mandatory. Note: the formatting and basic writing style guidelines discussed in the Case Memo section also apply to this assignment. Due to the nature of this activity, I do not anticipate granting make-up opportunities.

**Exams**

A midterm and final exam will be offered during the semester. The exam dates are listed below. The midterm exam will cover material from the first half of the course (Topics 1-7). The exam will be held in class and will be composed of essay questions. The final exam will be cumulative and cover all of the material from the course. It will be a take-home exam composed of essay questions.

No make-ups for missed exams are anticipated. Final exams that are turned in late will be penalized one letter grade per day. If you are experiencing a scheduling problem with an exam or with any other assignment, please talk to me about it as soon as possible to make alternate arrangements.

**Grading**

Semester grades will be computed as follows:
Midterm exam – 250 points
Final exam – 200 points
Written case analysis - 100 points
Contracting Exercise and Memo – 100 points
Participation and attendance – 55 points

No curves in grading or extra credit points are anticipated. Below is the grading scale:

A+ 100—98% A 97%—93% A- 92%—90%
B+ 89%—88% B 87%—83% B- 82%—80%
C+ 79%—78% C 77%—73% C- 72%—70%
All assignments are due at the beginning of the class on the date the assignment is due. Late work will be downgraded one full letter grade for each day it is late and will not be accepted more than 48 hours after the due date. I will consider making individual exceptions to this policy, but only if an exception is requested in advance, is legitimate, and can be documented.

Please keep copies of all your work until final course grades are issued in case there is any dispute or error in the recording of your grade.

CLASS CONDUCT

This is a graduate level college course, and students are expected to behave like adults. Behavior that disrupts class or is distracting to others will not be tolerated. Although these codes of conduct may seem obvious, they are worth stating. I encourage you to read the SPEA Academic Policies for guidance on issues of academic dishonesty, civility, course withdrawals, incompletes, and other issues. I expect all students to conduct themselves with professional courtesy, which includes (but is not limited to) the following:

1. **Respect for fellow students, the profession, and the instructor.** Please treat other students respectfully. When I am in front of the class lecturing or addressing a question from a student, I expect your full attention. This means no talking with other students or in any way distracting me or the class from my lecture/discussion. Do not carry on a conversation with someone else in the class while lecture and discussion takes place.

2. **Attendance and willing participation.** Your participation grade is based on the considered judgment and discretion of the instructor. Participation is made up of equal parts quantity (how often you come to class) and quality (how well you contribute to class discussion). Chronic unexcused or illegitimate absences will not be tolerated. If you have a legitimate excuse for not attending a class session, please let me know, in advance if possible. I reserve the right to take into account any special circumstances that arise.

3. **Promptness.** Please do not be late to class. I expect all students in their seats and ready to begin at 11:15 am. I reserve the right to take further action if students are continually late to class.

4. **Use of Electronic Devices (phones and laptops):** Students are permitted (and even encouraged) to bring and use laptops to class for the purposes of taking notes and participating in class discussion. With that said, I reserve the right to ban the use of phones and laptops if it becomes disruptive or is distracting to me or other students.
August 28 – NO CLASS (APSA)

Topic 1. Introduction to Public Management
- Rainey, Chapter 1. “The Challenge of Effective Public Organization and Management.” (September 2nd)
- Kettl, “What is Public Administration?” Oncourse (September 2nd)
- Meier and Bohte, “The Structure of American Bureaucracy.” Oncourse (September 4th)

Case Study: The Administrative State: Enforcement of Speeding Laws and Police Discretion. (September 4th)

Topic 2. The Political Environment of Public Organizations
- Rainey, Chapter 4. “Analyzing the Environment of Public Organizations.” (September 9th)
- Rainey, Chapter 5. “The Impact of Political Power and Public Policy.” (September 9th)

Case Study: Security Screening at Airports. (September 9th)

***Case Study: The Columbia Accident. (September 16th)

Written Case Analysis Option #1

Topic 3. Bureaucratic and Organizational Power
- Meier and Bohte, “Bureaucratic Power and Its Causes.” Oncourse (September 18th)
- Kaufman, “Major Players: Bureaucracies in American Government.” Oncourse (September 18th)

- West, “Administrative Rulemaking.” Oncourse (September 23rd)
- Yackee and Yackee, “Administrative Procedures and Bureaucratic Performance.” Oncourse (September 23rd)

- Sowa and Selden “Administrative Discretion and Active Representation: An Expansion of the Theory of Representative Bureaucracy” Oncourse (September 25th)
- Theobald and Haider-Markel, “Race, Bureaucracy, and Symbolic Representation: Interactions Between Citizens and Police” Oncourse (September 25th)

Topic 4. Organizational Structure and Design
- Hall and Tolbert, “Organizational Structure: Forms and Outcomes.” Oncourse (September 30th)
- Jones, “Designing Organizational Structure: Specialization and Coordination.” Oncourse (September 30th)
Case Study: Creating GM’s Multidivisional Structure. (October 2\textsuperscript{nd})

**Topic 5. Decision Making**

- Jones, “Bounded Rationality.” \textit{Oncourse} (October 7\textsuperscript{th})
- Lindblom, “The Science of Muddling Through.” \textit{Oncourse} (October 7\textsuperscript{th})
- Rainey, Chapter 7. “Formulating and Achieving Purpose: Power, Strategy, and Decision Making.” (October 9\textsuperscript{th})

***Case Study: The Decision to Go to War with Iraq. (October 14\textsuperscript{th})

\textit{Written Case Analysis Option \#2}

**Topic 6. Planning and Goal Setting**

- Rainey, Chapter 6, Organizational Goals and Effectiveness. (October 16\textsuperscript{th})
- Daft, “Managerial Planning and Goal Setting.” \textit{Oncourse} (October 21\textsuperscript{st})

**Topic 7. Performance Assessment**

- Moyihan, “Performance-Based Bureaucracy.” \textit{Oncourse} (October 23\textsuperscript{rd})
- Gore, “Creating A Government That Works Better and Costs Less.” \textit{Oncourse} (October 23\textsuperscript{rd})
- Brudney, Herbert, and Wright “Reinventing Government in the American States.” \textit{Oncourse} (October 28\textsuperscript{th})
- Joyce, “The Obama Administration and PBB: Building on the Legacy of Federal Performance-Informed Budgeting?” \textit{Oncourse} (October 28\textsuperscript{th})
- Behn, “The Psychological Barriers to Performance Management: Or Why Isn't Everyone Jumping on the Performance-Management Bandwagon?” \textit{Oncourse} (October 30\textsuperscript{th})
- Hatry, “Performance Management: Fashion and Fallacies” \textit{Oncourse} (October 30\textsuperscript{th})

***Case Study: The CitiStat Experience of Two Baltimore City Agencies (November 4\textsuperscript{th})

\textit{Written Case Analysis Option \#3}

**Midterm exam, November 6\textsuperscript{th}, in class.**

**Topic 8. Networks and Alternative Service Delivery Mechanisms**

- McGuire, “Collaborative Public Management: Assessing What We Know and How We Know It.” \textit{Oncourse} (November 11\textsuperscript{th})
- Agranoff “Inside Collaborative Networks: Ten Lessons for Public Managers.” \textit{Oncourse} (November 11\textsuperscript{th})
- Goldsmith and Eggers, “The New Shape of Government.” \textit{Oncourse} (November 11\textsuperscript{th})
- Williamson, “The Economics of Organization.” \textit{Oncourse} (November 13\textsuperscript{th})
- Johnston and Romzek, “The Promises, Performance, and Pitfalls of Government Contracting” \textit{Oncourse} (November 13\textsuperscript{th})
November 18: Contracting Exercise

*Exercise - Government/Nonprofit Contracting*: The goal of the assignment is to develop a contract between a Local Mental Health Board (LMHB) and a nonprofit mental health services agency (Bridge). The case has its own instructions, which you should follow unless they contradict the instructions I lay out 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. Half the class will represent the LMHB, and half will represent Bridge. Students will be assigned to each group prior to the exercise. Note that each individual prepares his/her own contract, and will accompany it with a 1 page explanatory memo that covers the basic principles behind the contract.

2) In class, each side will spend about 25 minutes turning the multiple contracts into one. Bring your laptop if you have one.

3) Following that, the LMHB and Bridge will negotiate a final contract for an additional 30 minutes.

4) This will be followed by a discussion period.

November 20 – NO CLASS

**Topic 9. Motivation and Work-Related Attitudes**
- Rainey, Chapter 9. “Understanding People in Public Organizations: Values and Motives.” (December 2nd)
- Rainey, Chapter 10. “Understanding People in Public Organizations: Theories of Motivation and Work-Related Attitudes.” (December 2nd)
- Perry and Wise, “The Motivational Bases of Public Service.” *Oncourse* (December 4th)

***Case Study: The Case of Joe the Jerk (or, the Very Capable Jerk) (December 4th)**

**Written Case Analysis Option #4**

**Topic 10. Organizational Change**
- Rainey, Chapter 13. “Managing Organizational Change and Development.” (December 9th)
- Fernandez and Rainey, “Managing Successful Organizational Change in the Public Sector.” *Oncourse* (December 11th)

Final exam, take home, due (online) December 17th at 7:00 pm.
COURSE SYLLABUS: PA 511

Public Administration

Read this syllabus carefully if you are taking this course. It defines some of your responsibilities and some of my responsibilities.

This course is the introductory course in the MPA program. As the PSU Bulletin states, "The course surveys the field, the development of the profession and practices in public administration", which is a lot of ground to cover, even in a survey course, and even if the Bulletin did not go on to state further that the course "examines the legal, historical, economic, and political foundations of the American governmental and nonprofit traditions." Obviously, a single course like PA 511 can at most only survey some of the issues within this broad range of topics. In doing so, the purpose of PA 511 is to introduce and prepare new MPA students to the MPA program and the more specific courses that follow, and to introduce others who might consider entering the MPA program, or perhaps simply have some interest in the field, to the study and practice of public administration.

Although my PA 511 course covers standard material for an introductory PA course, my choice of course requirements is somewhat different than many MPA courses. Other courses often require more writing assignments than in this course. On the other hand, this course requires you to demonstrate an understanding of basic course material in an in-class final examination. As in many MPA courses, this course also requires in-class student presentations. So, if you prefer not taking an in-class exam you may want to take PA 511 from another instructor. However, if you want to focus aggressively on learning the course material for each week and demonstrating your learning on the final exam, this course may be for you.

Course Materials


The Croft book is a standard textbook, whereas the Stillman book is a reader with both articles and case studies. We will often use the case studies in the Stillman book as the basis for group discussions in the second half of class meetings.

On-Line Course Resources

See my web site, especially the PA 511 help page, for weekly course assignments, for other information and links relevant to the course, and for instructional files and syllabi available for downloading.

Course Requirements

In order to have flexibility to adjust the course through the term, the specific course assignments will be given out during the term. The course requirements will include (approximate percentage weights for computing course grade also shown):

50%/Final examination

1 In-class presentations, of two types:
   10% Individual presentation: presentation (target 4-6 min., max. 8 min.) prepared outside of class on a specific reading or topic
   4% Group spokesperson presentation: presentation (2-3 min.) as a spokesperson summarizing an in-class group discussion
   Note: Each student is required to do one presentation of each type during the term.

2 Written assignments:
   30% Essay (approx. 4-10 pages) discussing the topic of your individual presentation
   6% Short essay (1-2 pages) on web research on the ASPA and NASPAA web sites

*Other class participation: classroom exercises, group discussions, anything else

*Note: Participation in class activities is a very important class requirement but will not be formally graded and incorporated into a computed point total like the other assignments. The instructor may make, however, upward or downward adjustments in course grades based on class participation.

Specific required assignments will given in class, on my web site, and via the course listserv (see below). You are responsible for all assignments, even if you miss a class.

Final Examination:

The final examination will be in-class, closed book, mainly short answer, and will comprehensively cover the course material, including:

1 Readings, including major concepts from the textbook and also the case studies from the reader. Exam will cover most, maybe every, assigned case study.

(Tip: Put plenty of details into your answers to make it clear you read and know well the case studies and the other topics. If an exam answer could have been written by someone who did not read the assigned course readings, that answer will receive a low score.)

Individual Presentation and Topic Essay:

You need to choose a subject for your individual presentation and topic essay. There are several approaches you can take:

1 Review a book of importance in public administration
2 Compare/contrast two-three articles in a relevant professional journal, such as the Public Administration Review
3 Critically relate some public administration readings to your professional experience

Read on my web site "Topics for Individual Presentations and Topic Essays" for a partial list of possible topics. Also, most weeks I will provide
in class possible topics for individual presentations for the next week, and you can choose from these topics the subject for your individual presentation and topic essay.

If you choose a topic other than from the topic list on my web site or from the weekly suggested topics you need to approve the topic through me. Either Email me, or give me in writing, the proposed topic. I will usually approve any topic I consider relevant to the course and instructive for the class.

Regarding the individual presentation: A five minute presentation can contain only a small amount of information, less than you can have in your essay. The trick to a good presentation is not to try to convey too much. Take several main points and try to convey them to the class. Also, to do an effective presentation you must not read what you have written; rather, put just a few key words on 3x5 note cards to use as notes, and then practice and time your presentation several times. If you do not practice and time your presentation you will not know how long it will take and you will likely exceed the time limit.

Regarding the topic essay: You must follow acceptable scholarly standards for documentation. Footnote any ideas drawn from published materials. Footnote and put in quotes anything taken word-for-word. For help on how to write and document essays check out the on-line writing/footnoting guidelines listed on my web site:

http://web.pdx.edu/~stipakb/students.html

The total amount of work required in the class will be a reasonable, not excessive, amount of work, and will be similar to other PA Division courses.

I have subscribed all students enrolled in the course who have an email address in the PSU Information System to the course listserv. If you do not have an email address in the PSU information system then I did not subscribe you and you will need to subscribe yourself. To see if your email address was included, you can look at the files in the folder for this course on my website and find the file with the name EmailAddressList...".

You must subscribe to the course listserv within two days after the first class meeting, if you are not already subscribed. I will use this listserv to send messages to the class members. You can also send messages to the class members—for example, to solicit help and to help other students requesting help.

To subscribe to the listserv go to the information page for this listserv, which you can link to via my web site, or you can just go directly to:

https://www.lists.pdx.edu/lists/listinfo/pa511

I will assign course grades as fairly as I can based on a computerized total points score and calculated grade. I usually allow myself a maximum leeway of one increment (for example, B to B+) from the calculated grade to take into account class participation, and other special considerations. The total points score is computed from scores on all the completed course requirements as listed above.

Both an "A" and a "B" are passing grades at the graduate level, and the vast majority of students in my classes receive grades in that range. If I assign a "C" or lower I feel the work in the course was below acceptable graduate student standards. Typically for this class I assign over one-half grades of A or A-, but at the other end there are typically several grades in the C/D range also.

The university policy on assigning incomplete ("I") grades restricts their use to special circumstances (see PSU Bulletin). Missing assignments will usually result in a lower grade or an "X" grade, not an "I." If major assignments are missing a very low grade may result. If you enroll in this course but find you are not able to do all of the assignments, I recommend that you drop the course. If you remain in the course and do not complete all of the work, you need to see me to discuss the possibility of an "I" grade.

I consider academic dishonesty a serious offense and will penalize offenders to the full extent possible under university policies. Academic dishonesty includes cheating on examinations, copying or stealing other people's work, turning in work done by someone else as one's own, plagiarism, and other kinds of misrepresentation. If you know of any of these problems occurring in this class, please let me know so that I can investigate.

Any assignments I have not returned to you by the last class meeting you can pick up from me after finals week. You will not get back copies of examinations, but a key exam will be available for you to see immediately after completing exams, and your scored exams will be available for you to examine in my office.

I am available to consult with you about course matters by phone and in person outside of class hours. To see me in person, schedule a time with me. Also, feel free to drop by my office if you are in the CUPA Building; if I am in, I will see you then if I can. This combined by-appointment/flexible-office-hours approach provides a more practical way to arrange consultation than limited specific office hours, given the varied work schedules of students in our program.

PA 511

Note: Instructor will announce specific weekly reading and other assignments in class and on his web site.

Basic Background and Concepts

1. Introduction: Public Service and the Growth of Government

Cropf, Ch. 1, 2

2. The Study of Public Administration: Approaches/Paradigms, History, Origins of the Field

Stillman, Ch. 1

3. Political, Organizational, and Legal Context of Public Administration: Bureaucrats as Politicians or as Technicians

Cropf, Ch. 4

Stillman, Ch. 4, 13, 14

4. Big Political Context of Public Administration in the U.S. Political System: Federalism and Intergovernmental Relations

Cropf, Ch. 5

Stillman, Ch. 5
5. Thinking About Organizations: Organization Theory

- Thinking About Organizations: Organization Theory
  - Cropf, Ch. 7, 8
  - Stillman, Ch. 2, 6, 7

Administrative Processes


- Decision-Making and Policy-Making: Muddle Through or Analyze?
  - Cropf, Ch. 9, pp. 215-226, Ch. 11
  - Stillman, Ch. 8, 9

7. Budgeting

- Budgeting
  - Cropf, Ch. 13
  - Stillman, Ch. 12

8. Human Resource Management

- Human Resource Management
  - Cropf, Ch. 14, Ch. 9, pp. 205-214
  - Stillman, Ch. 6, 11


- Performance Measurement and Evaluation
  - Cropf, Ch. 11, pp. 270-274
  - Stillman, Ch. 10

10. Information Resource Management

- Information Resource Management
  - Cropf, Ch. 15

Other Issues

11. Administrative Ethics and Accountability

- Administrative Ethics and Accountability
  - Cropf, Ch. 3
  - Stillman, Ch. 16

12. Government Regulation of Private Enterprise

- Government Regulation of Private Enterprise
  - Stillman, Ch. 10, "The Lessons of ValuJet 592"

13. Privatization

- Privatization
  - Cropf, Ch. 12

Conclusion

14. Can we Further the "Public Interest" as Public Administrators?

- Conclusion
  - Stillman, Ch. 15

PA 511

Approximate Class Schedule

Note: Write in assignments below when announced (in class, by listserv, on web site).

<table>
<thead>
<tr>
<th>Dates</th>
<th>Assignment Due</th>
<th>Approx. Sections of Course Outline</th>
</tr>
</thead>
<tbody>
<tr>
<td>1/10</td>
<td></td>
<td>Sec. 1</td>
</tr>
<tr>
<td>1/17</td>
<td></td>
<td>Sec. 2</td>
</tr>
<tr>
<td>1/24</td>
<td>Short Essay due</td>
<td>Sec. 2, 3</td>
</tr>
<tr>
<td>1/31</td>
<td></td>
<td>Sec. 3, 4</td>
</tr>
<tr>
<td>2/7</td>
<td></td>
<td>Sec. 5</td>
</tr>
<tr>
<td>Date</td>
<td>Event</td>
<td>Sections</td>
</tr>
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<td>-------</td>
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<tr>
<td>2/14</td>
<td></td>
<td>Sec. 6, 7</td>
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<tr>
<td>2/21</td>
<td></td>
<td>Sec. 7, 8</td>
</tr>
<tr>
<td>2/28</td>
<td></td>
<td>Sec. 9, 10</td>
</tr>
<tr>
<td>3/6</td>
<td></td>
<td>Sec. 11</td>
</tr>
<tr>
<td>3/13</td>
<td>Topic Essay due</td>
<td>Sec. 12, 13</td>
</tr>
<tr>
<td>3/20</td>
<td>Course Evaluations, Final Examination</td>
<td></td>
</tr>
</tbody>
</table>

Note: This class schedule is approximate. Adjustments will occur during the term. Some topics may overlap several class meetings.

[1] However, if some course requirements are not fulfilled, or if other special circumstances exist, the assigned grade may be more than one increment different than the calculated grade.
Management of Organizations  
Public Affairs 5011  
Fall 2015  
Mondays, 5:45 – 8:30  
Carlson L-118

Course Overview

Organizations pervade human life. They are sites of power, innovation and social change but can also be places that discourage initiative and reinforce inequalities found in society. Effective organizational management and leadership are critical to achieving broadly beneficial social, economic, and public value. The task is difficult because of the complexity of human behavior in organizations, constrained resources, competing demands of many stakeholders outside of the organization, and pervasive changes in the world we live in. Most of you will work in some kind of organization when you graduate and many, if not most, of you will be managers and leaders during your careers. This course will help prepare you to be an organizational leader in this realm, focusing on empowering you with the courage to act under uncertainty in order to strengthen the effectiveness of your organization.

To create that foundation, we focus on different ways to analyze organizations and develop sound recommendations for change – leaders and managers must understand organizational complexity in order to act. Part of the analytical task is to dissect important aspects of organizations in general, including for example, both their formal and informal structures and systems. Another part of this task is to learn how organizations are shaped by and shape external environments that encompass political, policy, and resource institutions. Additionally, to analyze organizations one must also pay close attention to the human beings who work there and their motivations. The course draws upon various perspectives, including concepts from public administration, sociology, political science, organizational psychology, and management. Learning to use multiple perspectives is critical because all perspectives contribute to understanding how to develop and sustain effective organizations and, ultimately, to how well individuals can help create public value.

The course is applicable to a wide range of organizational settings but pays particular attention to public and nonprofit organizations. Throughout, you will come to see that organizations provide opportunities and constraints as well as power and privilege within particular contexts. [Note - this is an introductory, survey course on organizational management and thus we spend limited time on many different topics. Full semester classes on many of these topics are offered by Leadership and Management Area and elsewhere within the Humphrey School and University]
By the completion of this course, I expect that students will be able to:

- Understand how to work effectively in and through public and nonprofit organizations in the context of multiple (and often contested) public purposes, conflicting stakeholder demands, and a diverse world;
- Think critically about organizations and managerial roles, especially regarding ways in which they reflect and create power and privilege, and be able to develop actionable recommendations to improve their effectiveness; and,
- Demonstrate management skills including memo writing, professional presentations, team development and management, and project management.

We will meet these objectives through readings, participation in class discussions, mini-lectures, simulations, case analyses, group projects, and the sharing of students’ own experiences. The teaching method is based on an active learning model. This approach requires that students prepare by reading the substantive course readings and cases and come ready to engage in lively conversation about the materials and their own experiences.

Communication

I believe that learning occurs most effectively through active reflection and conversation with others. To that end, I encourage you to work with others in the class to reflect together on class readings and concepts. I also welcome you to make use of office hours to more fully explore the course content. Simon and I are here for you as resources and want to assist you in your learning. To this end, both Simon and I have set aside office hours every week for the students in this class. As part of your Class Participation grade, I require that you schedule a visit with me at least once during the semester. More generally, I encourage you to make use of these office hours because I feel that learning takes place most effectively through direct conversation. If office hour times conflict with your schedule, please let us know and we can schedule an alternative time. I encourage you to utilize office hours for substantive conversation, including questions about assignments or grading.

Any student who finds it difficult for any reason to engage in full class participation should schedule a time to meet with me as soon as possible so we can discuss accommodations necessary to ensure participation and optimum learning. In addition, if you have an accommodation letter, please share it with me as soon as possible.

Required Materials

In this course, we will be using a course management website (Moodle). Articles, cases and links to multi-media materials are accessible through our course Moodle website. Additionally, you will submit most assignments for grading to the Moodle site.

Course Requirements

To succeed in the world of public affairs, you need to have strong skills, both individually and as part of a team. For this reason, this course will provide opportunities to build your skill set in
each of these areas with both individual and group assignments. More detailed descriptions of course assignments will be available as the semester progresses with in-class handouts and on the Moodle site.

Course grades will be based on your performance on all of the assignments and weighted as described below. I do not offer extra credit and rarely give course incompletes except under extraordinary situations and after we have negotiated the terms in writing.

**Participation (10%)**
Class discussion is an essential part of the learning process. I will facilitate discussion and help integrate the prevailing views with core theoretical ideas. In this way, the direction and quality of the discussion is the collective responsibility of the group. This includes preparing for class sessions, attending class and actively participating in the discussion. In order to participate in class discussion, it should go without saying that you need to be physically present. You are adults who are responsible for managing your own learning and, as a result, I do not have an absence policy. However, it is unlikely that you will be able to participate well in class if you are not there.

As part of your class participation grade, I require one visit to office hours during the semester. Please identify a topic or question from the course that has peaked your interest and meet with me to discuss more fully. The meeting need only last 20 minutes.

**Management Case Memos (40% total; 10-15-15% separately in sequence).**
You will write three memos in this course on managerial challenges facing organizations other than the one you focusing on throughout the semester. In each, you will analyze the challenges and provide recommendations for action. All memos will be 1 single-spaced page. We also will ask you to write a 1-2 Logic Memo to Simon and me summarizing your logic and tying it directly to course concepts. These memos are designed to help you master the communication of complex information within space constraints. I will handout explicit directions for each of these memos well in advance of their due dates. You will also write an ungraded “practice memo” early in the semester before any of these graded assignments are due and receive feedback from other students and from Simon or me.

**Policy Field and Organizational Analysis (50%)**
This course provides an opportunity for you to better understand the management challenges in a particular organization in a particular policy field. By “policy fields” we mean networks of organizations and institutions carrying out programs in a substantive policy area, such as health care or public education, in a particular geographic area. Policy fields attract multiple organizational players across government, nonprofit, and corporate sectors. They influence and are influenced by federal, state, and/or local policy decisions in the US context and by various international governing bodies and institutions in the global context. We have selected two different policy fields – K-12 education in the US and human rights/human trafficking. For each, we have assembled general information about the policy field with background reading from popular media, academic articles, and other sources. We have also assembled initial information regarding (at least) three different organizations that are key players within that
field. In the second week, students will choose a policy field and then I will assign you to study one of its organizations.

There are several parts to this requirement involving both individual and group assignments. I will hand out in advance a more detailed assignment and grading sheet for each.

1. **Individual Analysis and Application of Readings Memos (25%; 5% each).** To attain a full understanding of the concepts, you need to actively engage with the material. This entails reading the required materials, reflecting on their important ideas before class, participating in class discussions, and then applying concepts to real life management challenges. For five different weeks in the semester, you will be required to submit a 1-page memo by 5 pm of the Friday following that week’s class session which applies core concepts from the readings and class discussion to the organization you analyzing throughout the semester. The task of the memo is to demonstrate your analytical skills.

2. **Individual Oral Policy Brief (5%).** Individually, you will prepare a short, oral policy brief that analyzes what you see as the main opportunities and challenges within the policy field you are studying from the perspective of your organization. The hypothetical audience for this presentation will be the chief executive of the organization who has asked you for this analysis in order to help her/him make the organization more effective. You will have 3 minutes to present this information, followed by a short Q&A with either myself or Simon during class time and other alternative times during Week 6.

3. **Group Presentation of Final Organizational Analysis (20%).** During the second half of the course, you will begin working in a group with other students studying the same organization. As a team you will be analyzing critical challenges facing this organization in its particular environment or policy field and developing recommendations to make it a more effective actor within its environment and given its mission or purpose. At the end of the course, each team will make a 10 minute presentation to the class on its final analysis of these challenges, what has lead up to the challenges being problems, and what specific recommendations the team has for overcoming them.

**General Information**

**Student Conduct Code:**

The University seeks an environment that promotes academic achievement and integrity, that is protective of free inquiry, and that serves the educational mission of the University. Similarly, the University seeks a community that is free from violence, threats, and intimidation; that is respectful of the rights, opportunities, and welfare of students, faculty, staff, and guests of the University; and that does not threaten the physical or mental health or safety of members of the University community.

As a student at the University you are expected adhere to Board of Regents Policy: Student Conduct Code. To review the Student Conduct Code, please see: [http://regents.umn.edu/sites/default/files/policies/Student_Conduct_Code.pdf](http://regents.umn.edu/sites/default/files/policies/Student_Conduct_Code.pdf)

Note that the conduct code specifically addresses disruptive classroom conduct, which means "engaging in behavior that substantially or repeatedly interrupts either the instructor's ability to teach or student
learning. The classroom extends to any setting where a student is engaged in work toward academic credit or satisfaction of program-based requirements or related activities."

**Use of Personal Electronic Devices in the Classroom:**

Using personal electronic devices in the classroom setting can hinder instruction and learning, not only for the student using the device but also for other students in the class. To this end, the University establishes the right of each faculty member to determine if and how personal electronic devices are allowed to be used in the classroom. For complete information, please reference: [http://policy.umn.edu/Policies/Education/Education/STUDENTRESP.html](http://policy.umn.edu/Policies/Education/Education/STUDENTRESP.html).

**Scholastic Dishonesty:**

You are expected to do your own academic work and cite sources as necessary. Failing to do so is scholastic dishonesty. Scholastic dishonesty means plagiarizing; cheating on assignments or examinations; engaging in unauthorized collaboration on academic work; taking, acquiring, or using test materials without faculty permission; submitting false or incomplete records of academic achievement; acting alone or in cooperation with another to falsify records or to obtain dishonestly grades, honors, awards, or professional endorsement; altering, forging, or misusing a University academic record; or fabricating or falsifying data, research procedures, or data analysis. (Student Conduct Code: [http://regents.umn.edu/sites/default/files/policies/Student_Conduct_Code.pdf](http://regents.umn.edu/sites/default/files/policies/Student_Conduct_Code.pdf)) If it is determined that a student has cheated, he or she may be given an "F" or an "N" for the course, and may face additional sanctions from the University. For additional information, please see: [http://policy.umn.edu/Policies/Education/Education/INSTRUCTORRESP.html](http://policy.umn.edu/Policies/Education/Education/INSTRUCTORRESP.html).

The Office for Student Conduct and Academic Integrity has compiled a useful list of Frequently Asked Questions pertaining to scholastic dishonesty: [http://www1.umn.edu/oscai/integrity/student/index.html](http://www1.umn.edu/oscai/integrity/student/index.html). If you have additional questions, please clarify with your instructor for the course. Your instructor can respond to your specific questions regarding what would constitute scholastic dishonesty in the context of a particular class—e.g., whether collaboration on assignments is permitted, requirements and methods for citing sources, if electronic aids are permitted or prohibited during an exam.

**Makeup Work for Legitimate Absences:**

Students will not be penalized for absence during the semester due to unavoidable or legitimate circumstances. Such circumstances include verified illness, participation in intercollegiate athletic events, subpoenas, jury duty, military service, bereavement, and religious observances. Such circumstances do not include voting in local, state, or national elections. For complete information, please see: [http://policy.umn.edu/Policies/Education/Education/MAKEUPWORK.html](http://policy.umn.edu/Policies/Education/Education/MAKEUPWORK.html).

**Appropriate Student Use of Class Notes and Course Materials:**

Taking notes is a means of recording information but more importantly of personally absorbing and integrating the educational experience. However, broadly disseminating class notes beyond the classroom community or accepting compensation for taking and distributing classroom notes undermines instructor interests in their intellectual work product while not substantially furthering instructor and student interests in effective learning. Such actions violate shared norms and standards of the academic community. For additional information, please see: [http://policy.umn.edu/Policies/Education/Education/STUDENTRESP.html](http://policy.umn.edu/Policies/Education/Education/STUDENTRESP.html).
Grading and Transcripts:

The University utilizes plus and minus grading on a 4.000 cumulative grade point scale in accordance with the following. For additional information, please refer to:
http://policy.umn.edu/Policies/Education/Education/GRADINGTRANSCRIPTS.html

<table>
<thead>
<tr>
<th>Grade</th>
<th>Range</th>
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<tbody>
<tr>
<td>A</td>
<td>93</td>
<td>4.000</td>
</tr>
<tr>
<td>A-</td>
<td>90-92</td>
<td>3.667</td>
</tr>
<tr>
<td>B+</td>
<td>87-89</td>
<td>3.333</td>
</tr>
<tr>
<td>B</td>
<td>83-86</td>
<td>3.000</td>
</tr>
<tr>
<td>B-</td>
<td>80-82</td>
<td>2.667</td>
</tr>
<tr>
<td>C+</td>
<td>77-79</td>
<td>2.333</td>
</tr>
<tr>
<td>C</td>
<td>73-76</td>
<td>2.000</td>
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<td>C-</td>
<td>70-72</td>
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<tr>
<td>D+</td>
<td>67-69</td>
<td>1.333</td>
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<tr>
<td>D</td>
<td>63-66</td>
<td>1.000</td>
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</table>

Achievement is outstanding relative to the level necessary to meet course requirements.

A- 90-92
B+ 87-89
B 83-86
C+ 77-79
C 73-76
C- 70-72
D+ 67-69
D 63-66

Achievement is satisfactory, which is equivalent to a C- or better.

Sexual Harassment

"Sexual harassment" means unwelcome sexual advances, requests for sexual favors, and/or other verbal or physical conduct of a sexual nature. Such conduct has the purpose or effect of unreasonably interfering with an individual's work or academic performance or creating an intimidating, hostile, or offensive working or academic environment in any University activity or program. Such behavior is not acceptable in the University setting. For additional information, please consult Board of Regents Policy:
http://regents.umn.edu/sites/default/files/policies/SexHarassment.pdf

Equity, Diversity, Equal Opportunity, and Affirmative Action:

The University will provide equal access to and opportunity in its programs and facilities, without regard to race, color, creed, religion, national origin, gender, age, marital status, disability, public assistance status, veteran status, sexual orientation, gender identity, or gender expression. For more information, please consult Board of Regents Policy:
http://regents.umn.edu/sites/default/files/policies/Equity_Diversity_EO_AA.pdf

Disability Accommodations:

The University is committed to providing quality education to all students regardless of ability. Determining appropriate disability accommodations is a collaborative process. You as a student must register with Disability Services and provide documentation of your disability. The course instructor must provide information regarding a course's content, methods, and essential components. The combination of this information will be used by Disability Services to determine appropriate accommodations for a particular student in a particular course. For more information, please reference Disability Services:
Mental Health and Stress Management:

As a student you may experience a range of issues that can cause barriers to learning, such as strained relationships, increased anxiety, alcohol/drug problems, feeling down, difficulty concentrating and/or lack of motivation. These mental health concerns or stressful events may lead to diminished academic performance and may reduce your ability to participate in daily activities. University of Minnesota services are available to assist you. You can learn more about the broad range of confidential mental health services available on campus via the Student Mental Health Website: http://www.mentalhealth.umn.edu.

Academic Freedom and Responsibility: for courses that do not involve students in research

Academic freedom is a cornerstone of the University. Within the scope and content of the course as defined by the instructor, it includes the freedom to discuss relevant matters in the classroom. Along with this freedom comes responsibility. Students are encouraged to develop the capacity for critical judgment and to engage in a sustained and independent search for truth. Students are free to take reasoned exception to the views offered in any course of study and to reserve judgment about matters of opinion, but they are responsible for learning the content of any course of study for which they are enrolled.

Reports of concerns about academic freedom are taken seriously, and there are individuals and offices available for help. Contact the instructor, your adviser, the associate dean of the college, or the Vice Provost for Faculty and Academic Affairs in the Office of the Provost. [Customize with names and contact information as appropriate for the course/college/campus.] Language adapted from the American Association of University Professors "Joint Statement on Rights and Freedoms of Students".
## CLASS SESSION SCHEDULE

<table>
<thead>
<tr>
<th>Week/Date</th>
<th>Topics</th>
<th>Readings [NOTE: Full citations appear at end of syllabus]</th>
<th>Application</th>
<th>Ind’l Asgn Due</th>
<th>Team Asgn Due</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>INTRODUCTION TO ORGANIZATIONS AND MANAGEMENT</td>
<td></td>
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<tr>
<td>1: Labor Day, no class</td>
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</tbody>
</table>
2. Materials on VA case on Moodle site  
*Case: VA*  
1. What were the original problems here? What lead to them?  
2. What has been done to try to solve these issues?  
3. Why have these efforts not been totally successful? | Case discussion | | |
Introduce policy fields and case organizations | Not graded but bring in 1-page on personal value reflections | Students choose fields/orgs |
### THE EXTERNAL ENVIRONMENT AND POLICY FIELDS

<table>
<thead>
<tr>
<th>Date</th>
<th>Topic</th>
<th>Readings</th>
<th>Discussion</th>
<th>Assignment</th>
</tr>
</thead>
</table>

*Case: Casa Amiga*
1. Map the external environment facing Casa Amiga. Who are key stakeholders and what are their interests?
2. What problems has it run into and how can it continue its work in a politically divisive and culturally charged environment?
### Social Equities and Inequities in Practice: Street-Level Workers as Agents and Pragmatists

**Case: Little Rock School District**

1. What exactly did Superintendent Brooks do? How do School Board members perceive these actions?
2. What should School Board President Mitchell do now?

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**Policy field briefs**

<table>
<thead>
<tr>
<th>6: 10/12</th>
<th>Each student meets individually with either Melissa or Simon to give a 3-minute policy brief</th>
</tr>
</thead>
</table>

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### ORGANIZATIONS, WORK TEAMS, AND WORKERS

**Groups and Teams: The basics of team effectiveness and decision-making**

2. NPR podcast “Bad Apples” on Moodle
5. Eisenhardt, K., J.L. Kahwajy & L.J. Bourgeois III. (1997) How management teams can have a good fight.

**Carver State University Hospital simulation**

| Memo #1 due by 5 pm Friday of Week 7. Upload to Moodle. |
| Draft norms agreement due end of week; upload to Moodle |

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**Organizational**

<table>
<thead>
<tr>
<th>Date</th>
<th>Topic</th>
<th>Reading Assignments</th>
<th>Exercise/Activity</th>
<th>Deadline</th>
</tr>
</thead>
</table>
  *Case: “Who Brought Bernadine Healy Down?”*  
  1. What aspects of the Red Cross, as an organization, contribute to Healy’s downfall?  
  2. Did Healy herself contribute to this situation? How?  
  3. What changes do you recommend that the Red Cross board and executive leadership make right now? In the longer term? | Teams map basic structure of their organizations and relate to external environment | upload application #2 by 5 pm Friday of Week 8 |
  4. Re-visit Maynard-Moody and Musheno article from week #5  
  *Case: Making Work Pay (A)*  
  1. Map out the process of the Jobs Plus program. What are its assumptions?  
  2. What does this process look like if you are a resident of RV? Where are mismatches?  
  3. What programs changes would you recommend to Alice? | Case discussion  
  Teams map operational systems and consider frontlines in their organizations | Memo #2 due by 5 pm Friday, Week 9. Upload to Moodle. |
| 10:11/9| Employee Motivation, Emotions, and          | 1. Bolman and Deal, Chapter 6 & 7  
  2. Nohria et al (2008) Employee Motivation: A Powerful New Model | Survey on work values and then an exercise that breaks | Students upload application |
<table>
<thead>
<tr>
<th>Time</th>
<th>Date</th>
<th>Activity</th>
<th>Readings</th>
<th>Assignments</th>
</tr>
</thead>
</table>
Teams apply to organization both “meaning of work” in their organizations and initial questions re: culture.  
Students upload application #4 by 5 pm, Friday, Week 11.                                                                                       |
3. Ebrahim and Rangan. What Impact?  

*Case: Focusing on Results at the NYC Department of Education [HBS case purchase]*  
1. What is the theory of change underlying this strategy? Does it make sense to all stakeholders?  
2. Look closely at Exhibit 7 – would these indicators add up to improved student performance?  
3. What are the biggest risks to implementing this new system and what would you advise Liebman and Klein? | Case discussion  
Application work in individual teams  
Memo #3 due, upload to Moodle by 5 pm Friday, Week 12.                                                                                     |
## AT THE INTERSECTION OF ORGANIZATIONS AND THEIR ENVIRONMENTS

<table>
<thead>
<tr>
<th></th>
<th>Date</th>
<th>Topic</th>
<th>Readings</th>
<th>Activity</th>
<th>Notes</th>
</tr>
</thead>
</table>
4. Gregory & Howard, “The nonprofit starvation cycle” | Gov’t-NP contracting simulation |                                                                          |
| 14 | 12/7  | Networks, collaborations, and the public value question | 1. Revisit Kettl and Suarez readings from Week #2  
4. Goldsmith & Eggers “Ties that Bind.”  
5. Kania and Kramer Collective Impact SSIR piece | Case discussion  
Teams work on final assessments of intersection of their organizations and environments | Students upload application #5 by 5 pm, Friday, Week 14. |
|    |       |                            | *Case: A Partnership in Troubled Waters*  
1. What is your assessment of this “partnership?” Partnership among whom?  
2. Where are major tensions? Dilemmas? What is causing them? Think about the broader context facing ASF.  
3. What options does Simbulan have? Which should she pursue? | Case discussion  
Teams work on final assessments of intersection of their organizations and environments | Students upload application #5 by 5 pm, Friday, Week 14. |
| 15 | 12/14 | Teams present final analysis in class |                                                                                                                          | Final presentation                            |                                            |
Citations for Readings by Week

Week 1.
No class

Week 2.

Week 3.

Week 4.

Week 5.
4. Re-visit rest of Bryson article (see Week 3) for the Power v. Interest Grid and other related stakeholder analysis tools.

Week 6.
No readings.
Week 7.

Week 8.

Week 9.

Week 10.

Week 11.

Week 12.

Week 13.
5. Revisit Kettl and Suarez readings from Week #2.

Week 14.

Week 15.
No readings
Syllabus

UNIVERSITY OF SOUTHERN CALIFORNIA
Price School of Public Policy

Summer 2014

PPD 500 - Intersectoral Leadership
2 Units

Instructor: William R. (Bill) Kelly, MPA, MA, MBA
Adjunct Associate Professor
President/CEO
Kelly Associates Management Group
E-Mail: williamk@ka-mg.com
Phone Number: 714.837.7502

Schedule: Session One: Saturday June 21st and Sunday June 22nd
Session Two: Saturday July 19th and Sunday July 20th
9:00 am to 4 pm.

Class Location: RGL 215

Office Hours: By appointment, as well as before and after each class

Course Description

An important focus of the Price School of Public Policy is its recognition that problem solving and community building requires the combined strengths of the public, for-profit, and non-profit sectors. In turn, working across the various sectors requires an understanding of institutional complexity, and an ability to resolve conflict and seek collaborative solutions. This course provides a foundation in understanding institutional arrangements and developing the tools and skill base necessary for effective policy development, planning, and management across sectors.
This course serves as part of a common core for all of the Schools masters’ degree programs. In addition to providing a substantive link across these programs, the course serves as a forum for developing the different contributions made by our various professions and will offer an opportunity for common shared experiences among students from different programs.

The course includes:

1. An overview of the size, trends, nature, structure, and constraints of the public, for-profit, and non-profit sectors.
2. Development of skills in institutional analysis.
3. An understanding of governance, consensus building, and conflict resolution in inter-organizational interactions.
4. Applications to different arenas and issues of relevance to policy, planning, and development.
5. Case discussions, in-class exercises and group presentations.

The course will be conducted in a seminar format. Students will be required to carry the discussions, having read the required literature and prepared the appropriate assignments. With all forms of governance continuing to evolve, the various thoughts and trends will be explored with an eye to those strategies which have proved to be particularly effective in dealing with special issues.

### Student Learning Outcomes in Specific Areas of Competency

The National Association of Schools of Public Affairs and Administration (NASPAA) have established “learning outcomes” on core competencies which are applicable to USC. The Core Required Competencies identified by NASPAA are as follows:

**Universal Required Competencies:** As the basis for its curriculum, the program will adopt a set of required competencies related to its mission and public service values. The required competencies will include five domains: the ability

- to lead and manage in public governance;
- to participate in and contribute to the policy process;
- to analyze, synthesize, think critically, solve problems and make decisions;
- to articulate and apply a public service perspective;
- To communicate and interact productively with a diverse and changing workforce and citizenry.

These five broad categories of outcome have been formatted to each course and the specific Program Learning Outcomes for PPD 500 are as follows:
Objective One: Develop leadership skills in the areas of negotiation and alternative dispute resolution.

Objective Two: NA

Objective Three: Consider value orientation of different sectors and implications for strategic partnerships.

Objective Four: Develop skills in stakeholder analysis to inform strategic leadership.

Objective Five: Assess the role of different sectors in public management and policy; learn how to develop strategic partnerships.

At the completion of the class a three (3) page reflections paper shall be submitted. See number 4 under course requirements.

Course Requirements

1. Please email me your resume no later than Monday June 16, 2014 by 5:00 pm.
2. Readings and responses to questions will be due each week.
3. Team project: an analysis of a real cross-sectoral governing arrangement. Each team will submit a written analysis of 8 to 10 pages and make a presentation of 30 minutes to the class. The written analysis is due one week after the last class session (Monday July 28, 2014 by 5:00 pm); please see Appendix for further details.
4. Reflection paper: (maximum 3 pages) due (Monday August 4, 2014 by 5:00 pm). This paper needs to review the core competencies (objectives) as previously noted. This paper is to respond to the four areas of competences as outlined on page 3.
Performance Evaluation

Class Participation 20%
Weekly Responses to readings 15%
Team Project (written analysis-25% and class presentation-25%) 50%
Reflections paper. 15%

Required Readings

3. Additional readings will be distributed during class

Policy Regarding Disability Services and Programs

Any student requesting academic accommodations based on a disability is required to register with Disability Services and Programs (DSP) each semester. A letter of verification for approved accommodations can be obtained from DSP. Please be sure the letter is delivered to me as early in the semester as possible. DSP is located in STU 301 and is open early 8:30am – 5:00pm, Monday through Friday. The phone number for DSP is (213) 740-0776.
IN CLASS SCHEDULE

Class 1 – June 21
- Self Introductions
- Review of Syllabus
- Discussion of similarities and differences – public, nonprofit and private sectors
- Discussion of readings
- Discussion about power and influence
- Team Project assignments

Class 2 – June 22
- Formalization of team projects
- Discussion about Leadership Styles
- Discussion of readings
- Discussion about what makes” Good “Leaders”
- Handout and discussion – Hawaiian Gardens Casino Case Study
- Handout and discussion – Caruso/Westfield – Arcadia Case Study

Class 3 – July 19
- Discussion of readings
- Discussion about the Reflection Paper
- Discussion about “Leadership and Team Building”
- Discussion about “Negotiations and Conflict Resolution”
- Handout and discussion – Case Study to be announced
- Team project coordination

Class 4 – July 20
- Team Project Presentations
- Course wrap up
- Class Evaluation
Readings and Questions

Each student is expected to read weekly and respond to questions as outlined herein. The answers to “each question” cannot exceed one (1) page in length, double spaced and are due to me by Friday 5:00 p.m. on the dates noted below.

Please email to my office: williamk@ka-mg.com.

Texts:
Bennis and Nanus herein referenced as B and N
Kouzes and Posner herein referenced as K and P

**June 13, 2014 Assignment Number 1**

Read B and N “Mistaking Charge” and “Leading Others and Managing Yourself” and “Strategy I: Attention through Vision”

Question: In the context of Leadership as referenced in the readings provide one (1) example of a leader from your perspective. and why!

Question: Describe the “Wallenda Factor: and what that means to you!

Question: Explain why organizations need a “vision”!

**June 20, 2014 Assignment Number 2**

Read B and N “Strategy II: Meaning through Communication” and “Strategy III: Trust through Positioning”

Question: Describe “social architecture”!

Question: Describe how leaders overcome resistance to change!

**June 21, 2014 Class Session from 9:00 AM to 4:00 PM.**

**June 22, 2014 Class Session from 9: AM to 4:00 PM.**

**June 27, 2014 Assignment Number 3**

Read B and N"Strategy IV: The Deployment of Self” and"Taking Charge: Leadership and Empowerment”
Question: Why is it important to allow for mistakes to be made in an organization!

Question: Explain why you desire to be a “leader” versus a “manager”!

Read K and P Part 1 “What Leaders Do and What Constituents Expect’

Question: Pick one of the five practices and then one of the Ten Commandments and provide a personal example of the application success or failure!

July 4, 2014 Assignment Number 4

Read K and P Part 2 “Model the Way” and Part 3 “Inspire a Shared Vision”

Question: Explain “Unity is forged, not forced”

Question: Provide an example of where you were motivated by someone who was passionate about doing something!

July 11, 2014 Assignment Number 5

Read K and P Part 4 “Challenge the Process” and Part 5 “Enable Others to Act”

Question: Explain why change needs to be done incrementally!

Question: Why is face to face interaction important!

July 19, 2014 Class Session from 9:00 A.M. to 4:00 P.M.

July 20, 2014 Class Session from 9:00 A.M. to 4:00 P.M.

August 2, 2014 Assignment Number 6

Read K and Part 6 “Encourage the Heart” and Part 7 “Leadership for Everyone”

Question: Provide an example of how you were rewarded by your employer and why is meant something to you!

Question: Explain what leadership is not about and what it is!

August 4, 2014 Reflection papers due by 5:00 P.M.
Appendix

Team Project

The team project for PPD 500 is an analysis of a real cross-sectoral collaborative/governing arrangement. Students will choose to be in a team. Each group will:

1. Select an actual arrangement in which two or more public, non-profit, or for-profit organizations are working together to address a specific public policy problem

2. Analyze the arrangement and apply concepts from the course readings and case studies/handouts in answering the following questions. Please respond to each one of these five categories as separate headers in your written and oral presentation.

   - **Context:** What is the specific policy problem or opportunity being addressed by the arrangement?
   - **Motivation:** Why was a cross-sectoral arrangement formed to address this policy issue? Be specific as to the motivation for each sector and organization and the drivers for performance.
   - **Structure:** What is arrangement that was formed (e.g., public-private partnership, contractual, market-based, networks). How are the reporting relationships, roles, funding, incentives, and oversight structured?
   - **Assessment:** Does the team view the arrangement as success or a failure? Please assess:
     1. The effectiveness of the mechanisms developed, e.g. contracts;
     2. The process for developing the arrangement;
     3. The measures for outcomes or outputs;

   *Note your ability to assess success is likely to be limited, do the best you can.*

   - **Lessons:** What have you learned that enhances understanding of the effectiveness of cross-sectoral arrangements in solving collective problems and/or accomplishing constructive goals?

4. Present the analysis to the class using a PowerPoint presentation format. The presentation should last no longer than 30 minutes, with an additional 10 minutes to address questions from the class.

5. Provide a written report of the analysis to the instructor (of 8 to 10 pages). **Due July 28, 2014 by 5:00 pm.**

The oral presentation and the written report each will be graded separately. All members of the team will receive the same grades.

[8]
Course Focus

This is a problem-solving and decision-making course using as a vehicle Arizona Budget and Finance situations and case studies. For students who are interested in a traditional budgeting course, please refer to PAF 506—Public Budgeting and Finance.

In our PAF 591 course, all aspects of budget formulation, implementation, review and analysis will be covered. The student will be exposed to budget and finance management problems encountered by local governments, the state agencies, the governor’s Office of Strategic Planning and Budgeting, and the budget staff of the Joint Legislative Budget Committee. Operations of the Legislative Senate and House Appropriations Committees will be covered. The student will engage in case analysis, problem solving, decision making, and teamwork dynamics. Another component of this course is attending public meetings relating to budget/finance issues to experience and reflect on course concepts in action.

Course Objectives

By the end of the semester, the student will be able to demonstrate competency in the following areas, all of which will have an orientation to Arizona state and local government budget and finance issues.

1. Understand the underlying philosophy, operation, and organization of government finance administration.

2. Analyze, solve problems, and make decisions involving management and budgetary matters.

3. Apply quantitative and qualitative techniques of analysis to public finance problems.

4. Understand group dynamics and to work in teams.

5. Operate in the cultural environment of public finance organizations.

Required Materials:


3. Other readings as assigned by the instructor (handouts or postings on ASU Blackboard).

**Course Requirements**

1. Attendance and participation in class and online activities and discussion are essential. This includes seminar requirements of leading a reading discussion and/or additional case research.
2. Timeliness in turning in the cases according to the course schedule.
3. Quality written work.
4. Attendance at two public budget/finance meetings and corresponding written reflective statements.

**Grades**

<table>
<thead>
<tr>
<th>Component</th>
<th>Points</th>
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</thead>
<tbody>
<tr>
<td>Participation (6 x approx. 5 pts)</td>
<td>30</td>
</tr>
<tr>
<td>Case Analyses (5 x 10 pts)</td>
<td>50</td>
</tr>
<tr>
<td>Reflective Statements (2 x 10 pts)</td>
<td>20</td>
</tr>
<tr>
<td>Total</td>
<td>100</td>
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</tbody>
</table>

Course Grades will be based on the following points:

- A 92-100
- B 81-91
- C 70-80
- D 60-69
- E 0-59

**Case Memos**

Throughout the semester the student will be conducting case analyses of public finance administration concepts and problems. Cases are written about situations that public finance managers commonly face. As students read about public managers confronting various challenges, they study how to frame problems, formulate strategies, make decisions, and take responsibility for the consequence of their actions. Using the case method, the students practice thinking how managers could have acted more effectively or ethically. Case studies are intellectual practice fields that sharpen the student’s problem-solving, decision-making and leadership skills.

After careful case study, students write their analysis of the case in the following form:

- Approximately four typed pages, double-spaced (detailed guidelines will be posted).
- Memorandum heading with student name, date, and case number and title.
- Organization of memorandum:
  - Central issue(s)
  - Alternatives considered and possible outcomes.
• Recommended solution and rationale.

Students will turn in their completed analyses of the cases identified in the class schedule on the dates specified. Thereafter, the student teams will discuss and solve each case in a team mode. An alternating team leader (spokesperson) will present the team’s solution to the class with a PowerPoint presentation. After all teams have presented, the instructor will:

1. Issue to each student the actual decision that was made on the case.
2. Clarify the manner in which each case relates to the budget/finance process and the lessons learned.

Seminar Participation Requirements

In addition to case discussions and other general participation, students will lead a class discussion and/or content activity on at least one of the assigned readings. In doing so, they will want to focus on the main themes of the reading as well as bring in other related research or information when applicable. Discussion leaders should engage the class in a thoughtful dialogue. Students will choose readings in the first class session on January 26.

Students will also conduct research on how concepts brought forth in the assigned cases have been dealt with here in Arizona. Students will be assigned at least one case either individually or in small teams (depending on class size). Findings on related Arizona budget/finance situations and how they were/are handled will be presented following the class discussion of the case as presented in the text. In conducting their research, students may use a variety of sources for information, such as the internet, public documents, newspaper articles, A.R.S., or interviews.

Public Meeting Attendance and Reflective Statements

Students are expected to attend two public meetings (at least one meeting at the state level and one meeting at the city/county/local level) relating to budget/finance issues to experience and reflect on course concepts in action. Several meeting options exist to satisfy this assignment throughout the spring, such as JLBC meetings, JCCR meetings, state budget hearings, finance committee meetings, local finance committee meetings, local citizen budget hearings, etc. The meetings are held throughout the Valley both in the day and evening. Most of the state meetings or hearings are also available for live online viewing.

After attending each meeting, students are required to write a reflective statement (approximately 4 pages, double-spaced, 12-font) about their experience. The reflective statement should be an analytical narrative describing your experience and linking it to course readings and discussions (that may include this as well as other MPA classes). All reflective statements are due by the last class, April 5, unless other arrangements have been worked out with the instructor in advance.

IMPORTANT NOTES:

• All writing should use professional language (no slang). Grades will take into account grammar, spelling, and presentation. Papers must be well developed, logically consistent, and brief (to capture the attention of busy decision-makers, documents must be concise). For example, and “A” paper should not have grammar or spelling errors, be logically presented and easy to follow.
All assignments and discussion postings MUST be turned in/ completed on time to receive credit. ALL assignments are due as stated in the course schedule. IT IS YOUR RESPONSIBILITY TO MAKE SURE YOUR ASSIGNMENTS ARE TURNED IN BY THAT TIME. Computer-related problems (i.e., "my email isn't working" or "my printer broke") ARE NOT acceptable excuses.

**Accessing the Course Site/ Technical Matters:**

1. Using any computer connected to the Internet, open a web browser (such as Internet Explorer or Netscape) and go to http://my.asu.edu
2. Login using your ASURITE user ID and password
3. Under the “My Courses” heading, find and click on the “PAF 591 Arizona Budget and Finance " link.
   Note: If you do not see a “My Courses” heading when you first open http://my.asu.edu, click on the “Courses” tab at the top of the page to find the PAF 591 link.

**Communication**

**Contacting the Instructor**

E-mail is the best way to contact me (Jill). I check my e-mail at least once a day. PLEASE PUT 591 IN THE SUBJECT LINE. You can also use my cellular phone number (602-315-8276).

**E-mail**

All students must have an e-mail account (preferably an ASU account) that is checked regularly. E-mail will be the primary method of communication for announcements, schedule changes, and other important information. The instructor will e-mail the entire class through Blackboard. If you do not regularly check your ASU e-mail, you must have the account forwarded to an e-mail you will regularly check.

**CLASS SCHEDULE**

It is the student's responsibility to follow this schedule and keep track of all due dates and times. Changes to the course schedule, readings, etc. may be made at the discretion of the instructor.

<table>
<thead>
<tr>
<th>DATE</th>
<th>TOPIC/ ASSIGNMENT</th>
</tr>
</thead>
<tbody>
<tr>
<td>January 26</td>
<td><strong>Introduction to the course:</strong> Objectives, requirements, expectations, and discussion of the case study method.</td>
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<td><strong>Student Introductions:</strong> Each student will present an oral self-introduction (approximately three to five minutes in length).</td>
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<td></td>
<td><strong>Sample Case Study (Please read prior to class for in class discussion and analysis):</strong> “Welcome to the new town manager?” (Banovetz No. 1, Case 4, pp. 39-46)</td>
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<td></td>
<td><strong>Readings:</strong></td>
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<td>1. Think AZ, “Making Sense of the State Budget”</td>
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<tr>
<td>Date</td>
<td>Class</td>
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</tbody>
</table>
| February 2 | Class 2 | “Finances and development” (Banovetz No. 1, Case 2, pp. 11-25) | **Readings:**  
2. Morrison Institute, APC “New Economy Policy Choices”  
| February 16 | Class 3 | “Politics, user fees, and Barracudas” (Banovetz No. 2, Case 5, pp. 56-67) | **Readings:**  
1. NCSL, “The Appropriate Role of User Charges in State and Local Finance”  
3. Davis, “U.S. Judge’s Ruling Could End Forest User Fees” |
| March 1    | Class 4 | “Housing the homeless in Willow County” (Banovetz No. 2, Case 7, pp. 82-91) | **Readings:**  
1. Morrison Institute, “The Five Shoes Waiting to Drop on Arizona’s Future”  
3. Stephens & Wikstrom, “Contemporary American Federalism and Intergovernmental Relations” |
| March 22   | Class 5 | “County prison overtime” (Banovetz No. 2, Case 19, pp. 200-209) | **Readings:**  
1. Department of Corrections Audit  
2. “Police See Overtime as Perk of the Badge” article |
| April 5    | Class 6 | “Infrastructure demands versus debt” (Banovetz No. 1, Case 6, pp. 63-75) | **Readings:**  
1. Phoenix Bond Program Materials  
2. GPP, Arizona Infrastructure information  
3. JCCR Rules |

In addition to the above schedule, there will be lectures on the following subjects as time permits:  
- Indexing for Inflation  
- Leadership in the Workplace  
- Decision Making in Public Administration  
- Planning/Strategic Formulation/Critical Thinking  
- Economics/Budgeting  
- Team Building and Operation
Course Information
Course: SPEA V560 – Public Budgeting and Finance
Semester: Spring 2015
Class Times: Monday and Wednesday (1:00 – 2:15pm)
Classroom: PV278
Office Hours: Monday and Wednesday 3:00 to 4:00pm, and by appointments

Contact information
Instructor: Denvil Duncan
Office: SPEA 375F
Phone: 1 - 812 - 855 - 7493
Email: duncande@indiana.edu

Course Overview and Objective
The objective of this course is to expose students to the technical and political nature of public budgeting and finance. The course will cover such things as market failure, budget systems and processes (at the federal, state, and local level), budgeting techniques, budget classifications, and sources of tax revenue. Students should leave this course with a clear understanding of the budgetary process including the ability to discuss the sources of government revenue, how tax revenue is spent, who creates the budget, and why the budget is allocated the way it is.

Required Text and Additional Readings:
Mikesell, John L., Fiscal Administration: Analysis and Applications for the Public Sector, 9th Ed.
Boston, MA: Wadsworth 2011
Additional readings will be posted on Oncourse. Students will be duly notified whenever additional readings are posted.

Course Policies and Procedures

Academic honesty
Students are expected to adhere to SPEA’s standards on cheating and other academic behavior. These standards are clearly outlined at http://www.indiana.edu/~spea/about_spea/SPEA%20Policies%20.shtml. SPEA’s policy dictates that “Academic dishonesty can result in a grade of F for the class (an F for academic dishonesty cannot be removed from the transcript). Significant violations of the Code can result in expulsion from the University.” It is critical that you become familiar with these standards.

Withdrawals and incompletes
SPEA’s policy on this matter will be enforced. Please see http://www.indiana.edu/~spea/about_spea/SPEA%20Policies%20.shtml

Oncourse
Oncourse will be the primary channel of communication in this class. Students are advised to check Oncourse regularly for any notifications, assignments, and additional readings.

Grading and Evaluation
Your final grade will be based on seven assignments, one Term Paper, one presentation, one and mid-term with the following grade distribution:
Assignments 30%
Midterm exam 30%
Presentation 10%
Term paper 30%

Assignments
Assignments are meant to concretize the concepts discussed in class. You will receive seven assignments throughout the semester. Assignments must be typed using an appropriate software and must be printed and submitted at the beginning of the class. The assignments will be posted on Oncourse; late submissions will not be graded.

Software requirements:
I strongly recommend that you take a refresher course in Microsoft office (especially excel and word). Modules are available here: http://ittraining.iu.edu/training/browse.aspx.

Term paper
This is a group effort. Guidelines for the term paper are available online and will be discussed in class.

Examinations
The structure of the mid-term exam will be discussed in class. Please note the exam date and plan accordingly. There will be no make-up exams in this course.

Useful links for this course:
www.taxfoundation.org/blog
http://taxvox.taxpolicycenter.org
www.tax.com/taxcom/taxblog.nsf
http://taxprof.typepad.com
http://www.econtalk.org/
http://www.gfoa.org/services/nacslb/
http://www.abfm.org/public_budgeting_finance_journal.htm
http://www.csg.org/policy/publications/bookofthestates.aspx (Important state level data)
http://crfb.org/socialsecurityreformer/
Topics, Readings, and Due dates
Below is an outline of the topics to be covered, projected dates they will be covered, assigned readings, and due dates (assignments, term paper submissions and exams). I reserve the right to make changes as necessary. Every attempt will be made to give students adequate notice of such changes.

<table>
<thead>
<tr>
<th>Date</th>
<th>Topics and Readings</th>
<th>Reading</th>
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<tbody>
<tr>
<td><strong>January</strong></td>
<td></td>
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<tr>
<td>12</td>
<td>Intro and Survey</td>
<td>Mikesell Chapter 1; pg 1-17</td>
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<td>What is the role of government in modern society?</td>
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<td>14</td>
<td>What is the role of government in modern society?</td>
<td>Mikesell Chapter 1; pg 1-17</td>
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<td>19</td>
<td>MLK Jr. Day – No Class</td>
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<tr>
<td>21</td>
<td>The fundamentals of budgets and budgeting</td>
<td>Mikesell Chp. 2</td>
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<tr>
<td>26</td>
<td>The fundamentals of budgets and budgeting</td>
<td>Mikesell Chp. 2</td>
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<td></td>
<td>HW1 due</td>
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<td>28</td>
<td>Evaluating revenue options.</td>
<td>Mikesell Chp. 8</td>
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<td><strong>February</strong></td>
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<tr>
<td>2</td>
<td>Evaluating revenue options.</td>
<td>Mikesell Chp. 8</td>
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<td><em>Term Paper Submission 1</em></td>
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<tr>
<td>4</td>
<td>Income Taxes</td>
<td>Mikesell Chp. 9</td>
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<td>9</td>
<td>Income Taxes</td>
<td>Mikesell Chp. 9</td>
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<td>Taxes on Goods and Services.</td>
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<td>16</td>
<td>Taxes on Goods and Services</td>
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<td>18</td>
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<td>Mikesell Chp. 10</td>
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<td>23</td>
<td>Property Taxation</td>
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<td>25</td>
<td>Property Taxation</td>
<td>Mikesell Chp. 11</td>
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<td><strong>March</strong></td>
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<td>2</td>
<td>User-charges.</td>
<td>Mikesell Chp. 12</td>
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<td><em>Term Paper Submission 2</em></td>
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<td>HW4 due</td>
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<td>4</td>
<td>Revenue in the Budget Process</td>
<td>Mikesell Chp. 13</td>
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<tr>
<td>11</td>
<td>MID-TERM EXAM</td>
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<tr>
<td>16</td>
<td>Spring Break – No Class</td>
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<td>23</td>
<td>Federal Budget Systems, Institutions, and processes</td>
<td>Mikesell Chp. 3</td>
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<tr>
<td>25</td>
<td>Federal Budget Systems, Institutions, and processes</td>
<td>Mikesell Chp. 3</td>
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<tr>
<td>30</td>
<td>Budgeting techniques</td>
<td>Mikesell Chp. 4</td>
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<td><strong>April</strong></td>
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<td>1</td>
<td>Budget Classification and Reform.</td>
<td>Mikesell Chp. 5</td>
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<td>6</td>
<td>Budget Classification and Reform</td>
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<td><em>Term Paper Submission 3</em></td>
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<tr>
<td>Date</td>
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<tr>
<td>8</td>
<td>Capital Budgeting</td>
<td>Mikesell Chp. 6</td>
</tr>
<tr>
<td>13</td>
<td>Capital Budgeting</td>
<td>Mikesell Chp. 6</td>
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<td>15</td>
<td>Debt Administration.</td>
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<td>Chapter 14</td>
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<td>Presentations</td>
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<tr>
<td>22</td>
<td>Presentations</td>
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<tr>
<td>27</td>
<td>Presentations</td>
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<tr>
<td>29</td>
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<tr>
<td>MAY 3rd</td>
<td>Term Paper Submission 4</td>
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PA 583 ADVANCED BUDGETING: CONCEPTS & TECHNIQUES

SYLLABUS

COURSE BASICS

Instructor: Scott Lazenby, Ph.D. Public Administration & Policy; M.S. Public Management & Policy; and City Manager for Sandy, Oregon.

Contact: slazenby@pdx.edu or D2L mail. 503/668-6927 (work), 503/894-1448 (personal cell). Office Hours: By arrangement.

Class Meets: February 9, February 23, and March 9, 2013 in Cramer 325.

TEXTS


Scott Lazenby, The Human Side of Budgeting -or- Budget Games and How to End Them (unpublished manuscript available via D2L)

COURSE GOALS

A public sector budget serves many purposes: it is a policy statement; a financial plan; a mechanism for accountability and transparency; and a legal control on the organization. For the public administrator, however, the budget is first and foremost a management tool. This course is intended to take participants beyond mere familiarity with budgeting, to mastery of the tool. A course prerequisite is completion of PA 582, Public Budgeting, or some experience with a budget process in a government or nonprofit setting.

This is a course on public management, using the budget as a special case. Many aspects of public management —civic engagement, group processes, human relations, understanding of group and individual psychology, political sensitivity, leadership, management, and decision-making skills—are critical in preparing and managing a budget.

EMPA Core Competencies and PA 583 Learning Objectives

Students in the EMPA program will master the following competencies by graduation, as evident through their demonstrated ability to:

1. Articulate and exemplify the ethics, values, responsibilities, obligations and social roles of a member of the public service profession.

Learning objective: Understand the importance of (and put into practice) transparency, integrity, and establishment of trust in the context of budget management. Demonstrate a strong public service ethic in approaches to practical and theoretical budget problems. Appreciate and respect democratic processes, and the role of elected officials and governing board members in setting priorities for the organization.

2. Identify and apply economic, financial, legal, organizational, political, social, and ethical theories and
frameworks to the practice of public service leadership, management and policy.

Learning objective: See the objectives for individual modules.

3. Respond to and engage collaboratively with diverse local and global cultures and communities to address challenges in the public interest.

Learning objective: Gain knowledge and skills in methods of civic engagement that enable the values and desires of diverse constituencies to be reflected in the processes used for budget decisions.

4. Identify and engage with the key elements of the public policy process.

Learning objective: Become familiar with a variety of methods of framing budget policy decisions for policy makers, and the advantages and disadvantages of each.

5. Employ appropriate qualitative and quantitative techniques to investigate, monitor and manage human, fiscal, technological, information, physical, and other resource use.

Learning objective: Employ qualitative and quantitative techniques in preparing budget estimates, and calculating debt service and tax rates for bond-funded capital improvements. Understand the information shown in a typical Comprehensive Annual Financial Report.

6. Create and manage systems and processes to assess and improve organizational performance.

Learning objective: Develop performance measures for a variety of public services; understand the challenges in performance measurement and methods to overcome some of the challenges.

7. Conceptualize, analyze, and develop creative and collaborative solutions to challenges in public policy, leadership and management.

Learning objective: Use techniques for tapping into the creativity and skills of others in the organization to identify and respond to financial challenges.

8. Assess challenges and explore solutions to advance cross-sectoral and interjurisdictional cooperation in public programs and services.

Learning objective: Understand the complex financial interactions that governments and non-profit organizations can have with other agencies, on both the revenue and expenditure sides of the budget.

9. Demonstrate verbal and written communication skills as a professional and through interpersonal interactions in groups and in society.

Learning objective: Learn new techniques for persuasive communication, practice them, and break bad habits in verbal and written presentations.

10. Think critically and self-reflectively about emerging issues concerning public service management and policy.

Learning objective: Focus especially on the human behavior aspect of budgeting.
EQUIPMENT
Several exercises will include hands-on application of current best practices in budgeting. They will require access to spreadsheet software (MS Excel or Open Office), and for the in-class exercises, a computer.

SUBMITTING ASSIGNMENTS.
Assignments should be submitted via the D2L "dropbox" feature.

OFFICE HOURS AND E-MAIL. Individual questions can be submitted via D2L mail. If, however, you are not getting a response to an e-mail question quickly, you can also send an e-mail directly to slazenby@pdx.edu, putting PA583 somewhere in the subject line. You can also call me on the numbers listed above.

COLLABORATION.
The in-class exercises can be done in teams or individually, as desired. The "take-home" homework assignments, however, must be done individually unless otherwise noted. If you have questions or need advice from the instructor or classmates, feel free to share them via D2L or other means, but do individual work in building spreadsheets and writing reports.

EVALUATION AND GRADING. Course grades will be determined by the following weightings:
Assignments (Capital Budgeting and Library ECB Budget assignment)—41%; Final Exam—12%; Quizzes—4%; Final Paper—31%; Class Participation—12%. Of more long-term use than a single letter grade, written feedback will be provided on each assignment.

USE OF D2L. The class is designed to take full advantage of the EMPA format: a relatively small cohort that gathers in a physical classroom setting. In-class time will be dedicated to discussions, role playing exercises, and other activities that take advantage of face-to-face communications. The Desire-to-Learn (D2L) on-line tool will be used for individual activities: reading, quizzes, and submission of assignments. It is not a hybrid course: we will not use D2L as a substitute for classroom discussions. Important: You can use this syllabus for links to all the D2L resources we will use in the course. It will serve as a form of expanded checklist for you.

SESSION 1: The Budget as a Management Tool.

Read (prior to the first session, if possible):


The Human Side of Budgeting (unpublished text; pdf version) -- Chapters 1-4 Note: when you've completed these two reading assignments, take this brief quiz.

Assignment (due next session): ECB Budget Preparation (Library). D2L resources:

(NOTE: most of these files will open in a new window or tab)

- In-class Line Item exercise - instructions
- In-class Line Item exercise - spreadsheet (optional)
- In-class ECB budget exercise - instructions
- In-class ECB budget exercise - spreadsheet
- Library budget homework assignment - instructions (Word)
- Library budget homework assignment - spreadsheet
- Dropbox for library spreadsheet and cover memo
- Business writing tips

SESSION 2: The Budget as a Financial Management Tool.

Readings:

The Human Side of Budgeting -- Remainder of the book

Governmental Finance Tips & Terms for Budget Managers. After you do this reading, take this brief quiz.


Local Budgeting Manual, State of Oregon Department of Revenue.

Overview. Organizations and players in governmental finance. Basis of Governmental Accounting. Double-entry accounting: why it is used. Types of funds. Chart of accounts: familiar elements (revenue and expenditure accounts) and less familiar elements. Sample journal entries. Why Timing of Transactions Matters in Budgeting. Budget Basis—Full accrual, modified accrual. The CAFR—how to read it, what it means. GAAP vs. Budget Reports. (This session is more interesting than it sounds.)


Assignment (due next session): Budgeting & Financing a New High School

D2L Resources:

- Completed spreadsheet for the in-class exercise (5-year amortization table)
- Capital Budget Assignment (financing a high school) - instructions & worksheet
- quiz for submitting your answers.
- Dropbox for submitting your working spreadsheet.

https://d2l.pdx.edu/d2l/cms/content/viewer/main_frame.d2l?tid=1191436&ou=272729
SESSION 3: The Budget as a Public Leadership Tool

Reading:

Bland, Budgeting Guide, Chapter 6, Performance Measurement


Assignment: Final exam, and Final integrative assignment. Due in the dropbox by midnight, March 22.

D2L Resources:

- In-class exercise -- financial forecasting exercise -- spreadsheet
- Resource: Excel trendlines -- spreadsheet
- Final exam. Complete the open-book timed final exam any time between March 10 and March 22.
- Instructions for final paper. Depending on your career interest, choose one of the following:
  - Local government assignment
  - Nonprofit organization assignment
  - State or national government assignment
- Dropbox for submitting the final paper and associated materials
COURSE DESCRIPTION: PSAA 623: Budgeting in Public Service
Course designed to introduce students to selected topics in public administration and political science literature on the politics of public finance and budgeting. Course will introduce students to the practice of budgeting by learning language and issues common to budgeting in government. MPSA Public Management Track core course. Prerequisites: For MPSA majors only; graduate classification; approval of MPSA director.

COURSE LEARNING OBJECTIVES:
Upon successful completion of the course, the student will be able to:

1. Explain the general principles of public finance and demonstrate an understanding of budget structure; (communicate effectively)
2. develop expertise in the practice of public budgeting by successfully completing spreadsheet exercises to: (problem solving)
   a. organize budget data in an accounting format
   b. prepare an operating budget including payroll
   c. estimate revenues
   d. prepare a capital budget
   e. develop a financial plan with multiyear analysis
   f. present a budget including budget justifications
   g. implement an allocation plan and variance analysis
3. convey an understanding of major influences on contemporary budgetary practices through comprehensive exercises and a mid-term and final examination (content knowledge).

REQUIRED TEXTS:

COURSE METHODOLOGY:
The course will be based on text-based lectures, classroom discussion, and timely completion of assigned exercises. Assigned materials will include exercise problems from the CQ Press book. Students will enrich the course and the discussions related to the assigned materials by carefully reading and mastering the text before class, by thoughtfully and thoroughly completing the exercises when due, and by extensively using library resources.
COURSE GRADING:

A. COURSE EXAMINATIONS-MIDTERM AND FINAL (@ 20% EACH) = 40%.
[Content Knowledge] Includes Budget Practice Sets (50%) plus Exams (50%). For short answer or essay exam questions, please concentrate on:

- **Substantive content:** reflects accurate, thorough, and direct answer to the problem or question through use of text and/or relevant additional readings with appropriate citation of sources = 50%
- **Commentary:** student's interpretation/discussion of material = 30%
- **Examples:** how student relates materials beyond text (current events or illustrations) to cases or questions = 20%.

B. EXCEL EXERCISES (10 CQ Chapter exercises at 5% each) = 50% [Problem Solving]
Exercises to be completed by individual, but may involve group work. As a control, the overall average in Section B must not be more than 15% greater than the average on the two exams (Section A). For example, if exam grades average 80, the excel exercises grade cannot exceed 95. Also Note: Any exercise not submitted by deadline in the syllabus will be graded zero plus 50% penalty. Punctual and thorough completion of work indicates a professional perspective and is a vital professional work habit.

C. CLASS PARTICIPATION =10%. [Effective Communication] Class participation will be assessed by the course instructor on a weekly basis based on preparation by the student and clear communication of relevant materials to advance the class discussion. For each undocumented, unexcused absence, one point will be deducted from the final course average.

Please bring one current event item for sessions beginning September 10. Current websites will be rich sources for class participations, e.g., Governing magazine, the National Association of State Budget Officers, and agencies. Newspapers also offer many examples. Specific references to the course study guide are also needed. It is accessible at: http://library.tamu.edu/class-guides/public-administration/psaa-623-budgeting-in-public-service-1 (last updated March, 2013)

FINAL COURSE GRADES will be assessed on the following scale:

- **A** = 90-100 Superior in range, accuracy, depth, and interpretation
- **B** = 80-89.99 Outstanding with some room for additional development
- **C** = 70-79.99 Satisfactory with need to improve in selected areas
- **D** = 60-69.99 Unsatisfactory with significant need for broad improvement
- **F** = 60 or less

**Americans with Disabilities Act (ADA) Policy Statement**
The Americans with Disabilities Act (ADA) is a federal anti-discrimination statute that provides comprehensive civil rights protection for persons with disabilities. Among other things, this legislation requires that all students with disabilities be guaranteed a learning environment that provides for reasonable accommodation of their disabilities. If you believe you have a disability requiring an accommodation, please contact Disability Services, in Cain Hall, Room B118, or call 845-1637. For additional information, visit http://disability.tamu.edu.
OTHER CLASS POLICIES:
Please see student rules regarding attendance at http://student.rules.tamu.edu/rule 07
Attendance is factored in as a percentage of the overall grade as noted above in the
description of Course Grading. TAMU requires make-up exams for documented, excused
absences.

Special Request: The best use of personal computers is to make notes on the
assigned materials before class. This will minimize the distraction of individual keying
during class lectures and give students maximum time to be involved personally in the class
presentation and discussion. Please-- no texting, Facebooking, tweeting, surfing,
skateboarding, talking with neighbor, using private websites, eating salads or anything else,
or any unnecessary disruption of class activities.

HONOR CODE
The Texas A&M University Honor Code is at www.tamu.edu/aggiehonor . The
Aggie Honor Code prohibits all forms of academic dishonesty and should be interpreted
broadly to carry out that purpose. Although not an exhaustive list, the following examples
illustrate conduct that violates the Honor Code.

1. Giving or receiving unauthorized assistance, or attempting to give or receive such assistance, in
connection with the performance of any academic work.
2. Unauthorized use of materials or information of any type or the unauthorized use of any electronic
or mechanical device in connection with the completion of any academic work.
3. Access to the contents of any test or examination or the purchase, sale, or theft of any test or
examination prior to its administration.
4. Use of another person’s work or ideas without proper acknowledgment of source.
5. Intentional misrepresentation by word or action of any situation of fact, or intentional omission of
material fact, so as to mislead any person in connection with any academic work (including,
without limitation, the scheduling, completion, performance, or submission of any such work).
6. Offering or giving any favor or thing of value for the purpose of influencing improperly a grade or
other evaluation of a student in an academic program.

Course Schedule and Assignments:
Section 1: Fundamental Principles of Public Finance

Week One: September 3:
- Introduction and Overview of Course
- Overview of Lee, Johnson, and Joyce (LJJ) text and CQ text
- LJJ, Chapter 1, Introduction
- LJJ, Chapter 2: Public Sector in Perspective
- Note: First THREE CQ Homework Assignments due on September 24
- Preview of Budget Accounting Exercise and General Semester Exercise
- Note: http://office.microsoft.com/en-us/excel-help/get-to-know-excel-2010-
create-your-first-spreadsheet-RZ101773335.aspx as well as appendix CQ book

Week Two: September 10:
- LJJ, Chapter 3: Government, the Economy, and Economic Development
- LJJ, Chapter 15: Intergovernmental Relations
- CQ Tools, Chapter 1: Craft of Budgeting
- CQ Tools, Chapter 2: Organizing Budget Data
Section 2: Budgeting, Budget Structures, Budget Reform

Week Three: September 17:
- LJJ, Chapter 4: Budget Cycles
  - Due September 24: Exercise Group 1: CQ Tools, Appendix C, p. 225
  - Due September 24: Exercise Group 2: CQ Tools, Chapter 2: Organizing Data, p. 10.
  - Due September 24: Exercise Group 3: CQ Tools, pp. 242-243

Week Four: September 24
- LJJ, Chapter 5: Revenues: Income Tax, Payroll Taxes, Property Tax
- Review of Budget Practice Sets (5 Parts: A-E)
  - Due October 1: Exercise Group 9: CQ Tools, Chapter 4: First Steps in Revenue Estimating

Week Five: October 1
- LJJ, Chapter 6: Revenues: Retail Sales, User Charges, Lotteries
- CQ Tools, Chapter 4: First Steps in Revenue Estimating, Exercise Group # 9
  - Due October 8 - Exercise Group 7: CQ Tools, Chapter 3: Spending

Week Six: October 8:
- LJJ, Chapter 7: Budget Preparation: Expenditures
  - Due October 15 – Exercise Group 8: CQ Tools, Chapter 6: Financial Plan and Budget Decision-making

Week Seven: October 15:
- LJJ, Chapter 8: Budget Preparation: Decision
  - Due October 22: Exercise Group 5: CQ Tools, Chapter 7: Presenting the Budget

Week Eight: October 22:
- LJJ, Chapter 9: Budget Approval: The Legislature
- Mid Term Exam Review

Week Nine: October 29:
- Mid Term Exam
  a. Due October 29: Budget Practice Exercise (A-C) = 50% of mid-term grade
  b. Questions from Text = 50% of mid-term

Section 3: Administration

Week Ten: November 5:
- LJJ, Chapter 10: Budget Approval Revisited: The Congress
- Preview of Take Home Section of Final Exam Budget Practice Exercise (Sec. D-E)
Week Eleven: November 12:
- LJJ, Chapter 11: Budget Execution
  o Due November 19 - Exercise Group 4: CQ Tools, Chapter 8: Implementing the Budget
- Due November 19

Week Twelve: November 19:
- LJJ, Chapter 12: Financial Management
- CQ Tools, Chapter 9: Multiyear Plans and Analysis
  o Due November 26 – Exercise Group 10: CQ Tools, Chapter 9: Multiyear Plans and Analysis

Week Thirteen: November 26:
- LJJ, Chapter 13: Capital Assets: Planning, Analysis, Management
  o Due December 3: Exercise Group 6: CQ Tools, Chapter 5: Capital Budget: Preparing the Capital Budget

Week Fourteen: December 3:
- LJJ, Chapter 14: Capital Finance and Debt Administration
- Review for Final Exam

December 16, TUESDAY:
- Final Exam from 10:30 a.m. to 12:30 p.m., Room To Be Announced
  a. Due Dec 16: Budget Practice Exercise (D-E) = 50% of final exam
  b. Questions from Text = 50%
Introduction to Financial Analysis and Management
Humphrey School of Public Affairs
University of Minnesota

Date and Time: 6:00 P.M. – 7:30 P.M. M and Th (7/6/2015 – 7/30/2015)
Class Location: Humphrey Center 184

Instructor: Jay Kiedrowski
Office: HHH 248
E-mail: kiedr003@umn.edu
Phone: 612-626-5026
Office Hours: M & Th 4:00-5:30 & appointment

Textbook:

Required:
Author: Xiaohu Wang; Publisher: M.E. Sharpe, Inc.; ISBN 978-0-7656-3689-8

Optional Readings:
Effective Financial Management in Public and Nonprofit Organizations
Author: Jerome B. McKinney; Praeger Publishers; (2004), ISBN: 1567205801

Financial Management for Public, Health, and Not-for-Profit Organizations (4th Edition) by
Steven A. Finkler, Thad Calabrese, Robert Purtell and Daniel L. Smith; Prentice Hall, (Jun 25,
2012), ISBN-10: 0132805669

Other articles and readings posted on Moodle 2.

Course Description

Financial management is one of the basic functions of all public and nonprofit organizations.
As such, the skills and competencies required to budget and manage financial resources
effectively are some of the most important that you will learn during your graduate studies.

Understanding how public and nonprofit organizations manage financial resources is vitally
important to understanding their health and where they place their priorities. Being able to
budget will give you an advantage in securing resources. Being able to read a financial
statement of a nonprofit or NGO will assist you in understanding the net worth of that
organization. Being able to analyze the financial statements of a government will suggest to
you the economic vitality of its community.

The financial environments for public and nonprofit organizations are changing. Governments
are pressured to “do more with less” and nonprofit organizations are expected to “do better at
doing good”. In order to meet these challenges, it is important that managers and employees
of public and nonprofit organizations possess the fundamentals of budgeting and financial
analysis.
Owing to this importance, the Humphrey School has made this course a core requirement. It is my hope that this course will strengthen and develop the following knowledge, skills and abilities:

- Budget planning and formulation
- Budget analysis
- Budget and cost allocation
- Accounting methodologies
- Financial statements construction
- Financial statements analysis

This is an introductory course to budgeting and financial analysis for public and nonprofit organizations. The primary learning objective of this course is how to obtain accurate financial information to make sound management decisions through the analyses of financial documents such as budgets and financial statements. Conceptual frameworks and analytical techniques will be emphasized and applied to analyze real-world financial problems.

**Student Learning Outcomes**

By the end of the course, students should:

- Understand and explain how financial management is an integral part of nonprofit/public management (Competencies: Lead, Analyze, and Public Institutions).
- Understand and accurately use the language, terminology, and skills of nonprofit/public budgeting, accounting, and financial statements (Competencies: Lead and Public Institutions).
- Effectively write and communicate about financial matters (Competencies: Diverse).
- Perform basic budget and financial analysis of nonprofit/public organizations (Competencies: Analyze and Public Institutions).

**Instructional Methods**

This course will be taught in a “flipped learning” approach. Class presentations are videotaped in short 6-10 minute segments and available on Moodle for each week. Each week there will be an assignment that will be reviewed in class with the expectation of active student participation, including critical questioning, in-class exercises, supplemental comments, group discussion, and team projects. Rather than 2 hour and 45 minute classes, we should complete our work in class in 1 hour and a half.

The course schedule will follow the outline at the end of this syllabus, with possible adjustments along the way. Required readings and the videos are critical for you to complete the assignments and to participate in class discussions, so they should be completed prior to class. Recommended readings provide additional materials to further assist you in the related topics.

Moodle – The course website is an important part of the course and is located on Moodle (see below for instructions on usage). You must check the website each week to attain the
necessary readings, videos, assignments, power points, and grades. We will also be using the website for timely class announcements.

Moodle is a course management system that emphasizes online learning communities with built-in tools, including peer-review forums and glossaries that students build together. We will use the basic functions of Moodle and will also explore opportunities to facilitate online communication and group work within the class.

If you are not familiar with Moodle, a good way to get started is to watch the “student orientation” at https://umconnect.umn.edu/moodleorientation or visit the support page at http://www1.umn.edu/moodle/students/.

Moodle sites can be accessed on any computer that has an internet connection and a web browser. The UMN Moodle support team recommends using Mozilla Firefox. For more information, including a free Firefox download, go to http://www1.umn.edu/moodle/start/technical.html.

To access the Moodle course website, go to http://moodle.umn.edu. Once logged in, you will see links to the sites to which you have access. For additional questions, you may contact maron008@umn.edu or me.

**Student Assessment**

Each week there will be an assignment that you are to prepare in writing (You may work with others in completing the assignments.). These will not be graded, but will be collected at the end of class. You should actively participate in class discussions and class problem-solving. Class discussion, timely assignment completion, and attendance count toward your participation grade. Participation represents 12 points of your grade.

There will be a first exam (30 points) and a second exam (30 points) for this course. The first exam will be an analysis of a real budget and real financial statements of nonprofit and public organizations, word questions, and financial problems. The second exam will be an analysis of real annual financial reports of nonprofit and public organizations, word questions, and financial problems. The second exam **ONLY** covers material from the second half of the course.

The final assignment is a group project in which you will review the financials of a real government or nonprofit organization and present your findings to the class. You will be assigned to groups in the second week of class. The group should submit a 5+ page paper of your findings at the last class. The group will also present a power point presentation (no more than 10 minutes) of the findings at the last class. The group should provide me a copy of the power points and any other information that would be helpful. This group paper (20 points) and presentation (8 points) are worth 28 points.

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<td>Second Test</td>
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<td>Group Project</td>
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<td>89.9-86.7</td>
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<tr>
<td>B+</td>
<td>86.6-83.3</td>
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<tr>
<td>B</td>
<td>83.2-80.0</td>
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<tr>
<td>B-</td>
<td>79.9-76.7</td>
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<tr>
<td>C+</td>
<td>76.6-73.3</td>
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<td>C</td>
<td>73.2-70.0</td>
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<td>Below Competence/No Credit</td>
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I (Incomplete) may be assigned at the instructor’s discretion if, due to extraordinary circumstances, the student was prevented from completing their course work on time. The assignment of an Incomplete requires the written agreement between the instructor and the student specifying the time and manner in which the student will complete his/her unfinished work.

There is no “extra credit” available in this course.

**Attendance:**

All students are expected to attend class, be prepared to discuss that night’s question with support from the readings, and complete all assignments. Due to the participatory nature of this course and the fact that there are only 9 sessions, not attending class without cause will reduce your participation grade. If you are absent from a session, you must make arrangements to obtain notes and hand-outs from other students.

**Student Conduct Code:**

The University seeks an environment that promotes academic achievement and integrity, that is protective of free inquiry, and that serves the educational mission of the University. Similarly, the University seeks a community that is free from violence, threats, and intimidation; that is respectful of the rights, opportunities, and welfare of students, faculty, staff, and guests of the University; and that does not threaten the physical or mental health or safety of members of the University community.

As a student at the University you are expected adhere to Board of Regents Policy: *Student Conduct Code*. To review the Student Conduct Code, please see: [http://regents.umn.edu/sites/default/files/policies/Student_Conduct_Code.pdf](http://regents.umn.edu/sites/default/files/policies/Student_Conduct_Code.pdf).

Note that the conduct code specifically addresses disruptive classroom conduct, which means "engaging in behavior that substantially or repeatedly interrupts either the instructor's ability to teach or student learning. The classroom extends to any setting where a student is engaged in work toward academic credit or satisfaction of program-based requirements or related activities."

**Use of Personal Electronic Devices in the Classroom:**

Using personal electronic devices in the classroom setting can hinder instruction and learning, not only for the student using the device but also for other students in the class. To this end, the University establishes the right of each faculty member to determine if and how personal electronic devices are allowed to be used in the classroom. For complete information, please reference: [http://policy.umn.edu/Policies/Education/Education/STUDENTRESP.html](http://policy.umn.edu/Policies/Education/Education/STUDENTRESP.html).
Scholastic Dishonesty:

You are expected to do your own academic work and cite sources as necessary. Failing to do so is scholastic dishonesty. Scholastic dishonesty means plagiarizing; cheating on assignments or examinations; engaging in unauthorized collaboration on academic work; taking, acquiring, or using test materials without faculty permission; submitting false or incomplete records of academic achievement; acting alone or in cooperation with another to falsify records or to obtain dishonestly grades, honors, awards, or professional endorsement; altering, forging, or misusing a University academic record; or fabricating or falsifying data, research procedures, or data analysis. (Student Conduct Code: http://regents.umn.edu/sites/default/files/policies/Student_Conduct_Code.pdf) If it is determined that a student has cheated, he or she may be given an "F" or an "N" for the course, and may face additional sanctions from the University. For additional information, please see: http://policy.umn.edu/Policies/Education/Education/INSTRUCTORRESP.html.

The Office for Student Conduct and Academic Integrity has compiled a useful list of Frequently Asked Questions pertaining to scholastic dishonesty: http://www1.umn.edu/oscai/integrity/student/index.html. If you have additional questions, please clarify with your instructor for the course. Your instructor can respond to your specific questions regarding what would constitute scholastic dishonesty in the context of a particular class-e.g., whether collaboration on assignments is permitted, requirements and methods for citing sources, if electronic aids are permitted or prohibited during an exam.

Makeup Work for Legitimate Absences:

Students will not be penalized for absence during the semester due to unavoidable or legitimate circumstances. Such circumstances include verified illness, participation in intercollegiate athletic events, subpoenas, jury duty, military service, bereavement, and religious observances. Such circumstances do not include voting in local, state, or national elections. For complete information, please see: http://policy.umn.edu/Policies/Education/Education/MAKEUPWORK.html.

Appropriate Student Use of Class Notes and Course Materials:

Taking notes is a means of recording information but more importantly of personally absorbing and integrating the educational experience. However, broadly disseminating class notes beyond the classroom community or accepting compensation for taking and distributing classroom notes undermines instructor interests in their intellectual work product while not substantially furthering instructor and student interests in effective learning. Such actions violate shared norms and standards of the academic community. For additional information, please see: http://policy.umn.edu/Policies/Education/Education/STUDENTRESP.html.

Sexual Harassment

"Sexual harassment" means unwelcome sexual advances, requests for sexual favors, and/or other verbal or physical conduct of a sexual nature. Such conduct has the purpose or effect of unreasonably interfering with an individual's work or academic performance or creating an intimidating, hostile, or offensive working or academic environment in any University activity or program. Such behavior is not acceptable in the University setting. For additional
information, please consult Board of Regents Policy: 
http://regents.umn.edu/sites/default/files/policies/SexHarassment.pdf

Equity, Diversity, Equal Opportunity, and Affirmative Action:

The University will provide equal access to and opportunity in its programs and facilities, without regard to race, color, creed, religion, national origin, gender, age, marital status, disability, public assistance status, veteran status, sexual orientation, gender identity, or gender expression. For more information, please consult Board of Regents Policy: 

Disability Accommodations:

The University is committed to providing quality education to all students regardless of ability. Determining appropriate disability accommodations is a collaborative process. You as a student must register with Disability Services and provide documentation of your disability. The course instructor must provide information regarding a course's content, methods, and essential components. The combination of this information will be used by Disability Services to determine appropriate accommodations for a particular student in a particular course. For more information, please reference Disability Services: http://ds.umn.edu/student-services.html.

Mental Health and Stress Management:

As a student you may experience a range of issues that can cause barriers to learning, such as strained relationships, increased anxiety, alcohol/drug problems, feeling down, difficulty concentrating and/or lack of motivation. These mental health concerns or stressful events may lead to diminished academic performance and may reduce your ability to participate in daily activities. University of Minnesota services are available to assist you. You can learn more about the broad range of confidential mental health services available on campus via the Student Mental Health Website: http://www.mentalhealth.umn.edu.

Academic Freedom and Responsibility

Academic freedom is a cornerstone of the University. Within the scope and content of the course as defined by the instructor, it includes the freedom to discuss relevant matters in the classroom. Along with this freedom comes responsibility. Students are encouraged to develop the capacity for critical judgment and to engage in a sustained and independent search for truth. Students are free to take reasoned exception to the views offered in any course of study and to reserve judgment about matters of opinion, but they are responsible for learning the content of any course of study for which they are enrolled.*

Reports of concerns about academic freedom are taken seriously, and there are individuals and offices available for help. Contact the instructor, your adviser, the associate dean of the college, or the Vice Provost for Faculty and Academic Affairs in the Office of the Provost.

* Language adapted from the American Association of University Professors "Joint Statement on Rights and Freedoms of Students".
COURSE SCHEDULE

<table>
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<tr>
<th>Date</th>
<th>Topic</th>
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<tbody>
<tr>
<td>7/6</td>
<td>Introduction to the Course and to Budgeting and Financial Analysis</td>
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</tbody>
</table>

Required reading:

One of the following depending on your interest:

Assignment 1 Due

7/9

Public/Nonprofit Budgeting: Revenues, Expenditures, & Outcomes

Required readings
- Wang, Chapter 2
- Budget Puzzle: You Fix the Budget, Federal Budget Development.

Optional reading:

Assignment 2 Due
Accounting and Financial Reporting: Statement of Net Assets & Statement of Activities

Required reading:
• Wang, Chapter 9 & 10

Assignment 3 Due

First Exam

Financial Monitoring & Condition Analysis Review

Required Reading:
• Wang, Chapter 7 & 12

Recommended Reading (one or the other depending for your project):

Assignment 4 Due

Understanding Costs

Required:
• Wang, Chapter 3, 5, and 6
• University of Minnesota (2007). New Budget Model for University of Minnesota.

Optional:

Assignment 5 Due

Statement of Cash Flow and Funds

Required reading:
• Wang, Chapter 11
• Nonprofit Assistance Fund (2005). What is a Cash Flow Statement?

Optional Reading:
• GASB Statement No. 34

Financial Reporting and Auditing

Required reading:

Assignment 6 Due

7/30 Second Half Exam & Group Project Presentations
Public Financial Management & Budgeting  
Public Administration PPD 541  
Spring 2014

Tim Gage  
(916) 457-4003  
gillgage@pacbell.net

Course Objectives

This course is intended to provide public administration graduates an overview of public agency budgeting and financial management. Public agency budgets are the means by which public resources are allocated and, as such, are central to the role of government. The course will provide an overview of the budget process, including the players and the strategies they employ, as well as provide students with the practical skills involved in understanding, analyzing and preparing budgets.

The goals of the course are to:

- Achieve an understanding of the central role that budgets play in the state, local and federal systems of government.

- Develop the skills needed to be an effective participant in the budget process, including cost analysis, revenue and expenditure estimation and preparation of budget justifications.

- Familiarize students with several other important financial management activities including cash management, investing, capital budgeting and public sector borrowing.

- Introduce some of the issues particular to budgeting in a nonprofit organization.

Discussion of these issues will include the historical context, legal issues and economic theories underlying current practices. The course is intended to provide you with a broad understanding of public finance issues. We will also spend time addressing budget issues in your work situations. In doing so, the goal is to develop a better understanding of the critical factors involved in budget decision making and improve your ability to communicate effectively in this arena. This will be achieved through the required readings, class discussion, in-class exercises, brief written assignments, a cost analysis and a budget justification.
**Required Reading**

The text for the class is *Fiscal Administration: Analysis and Applications for the Public Sector* by John L. Mikesell (Wadsworth Publishing, 7th Edition, 2007). (Note that an 8th edition of the text is available and you are welcome to use it, but the page references for the text in this syllabus are to the 7th edition.)


Additional required readings intended to round out your understanding of the topics covered by the course are available in the form of a class reader from the Bookstore or USC Custom Publishing.

Class lectures and discussions will use the required readings as a jumping off point for discussion. For this reason, it is essential that you read the assigned readings. In addition, you are expected to be familiar with current events, such as the status of the state budget. Good sources for current budget and state and local government information are the Rough & Tumble website (www.rtumble.com), the *Los Angeles Times* and the *Wall Street Journal*.

**Course Assignments**

Your grade for the course will be based on class participation (10%), participation in discussion boards (10%), a cost analysis (20%), a budget justification (25%) and the final exam (35%).

**Class Participation (10%):** Your participation in class is essential to your success in this course. In addition to demonstrating your understanding of the material covered, collaboration in the form of verbal give and take is critical to developing creative solutions to challenges in the work environment. We will use issues and problems from your work settings to apply what you are learning in the class. In addition, we will briefly discuss several current public finance issues at the start of each class session. Please come prepared to discuss a public fiscal or budget issue from Rough and Tumble or another news source at the first in-person class meeting.

**Discussion Board Contributions (10%):** The course will involve weekly contact each week of the semester (except for the intensive weekends) consisting of a prompt such as one or more readings that I will ask you to respond to briefly via a question posed on a Blackboard discussion board. I will react to your responses and in turn ask you to react to my rejoinder and a fellow student’s posting. Each week’s required readings are specified below. Spelling and grammar count!
Cost Analysis (20%): A cost analysis relating to a typical public budgeting problem will be handed out at the end of the first intensive weekend and is due March 10th. This exercise is designed to demonstrate your command of basic costing skills. The exercise assumes that you are already somewhat proficient with Excel or will acquire that proficiency in the course of doing the exercise. Students unfamiliar with using a spreadsheet are encouraged to contact me for suggestions regarding introductory materials. In addition, ungraded computational exercises will be used throughout the course.

Budget Justification (25%): You will be required to prepare a budget request in the form of a Budget Change Proposal (BCP) of approximately 5-6 pages in length. These budget justifications are due the first day of class of the 2nd intensive weekend (March 28th) and will be presented in class for discussion during the Friday, Saturday Sunday classes of the second intensive weekend. Details of this assignment will be made available at the end of the first intensive weekend of classes.

Final Exam (35%): The final exam will be conducted during the last in-class session and consists of a review of basic budget-related concepts, certain computational skills that will be covered in class during the course, and a brief essay.

Course Schedule

The course involves contact each week of the semester in addition to two three-day intensive weekends. That weekly contact utilizes the readings specified below and participation in a Blackboard discussion board regarding a question I will provide Sunday at the beginning of each week. You will be responsible for responding to this question by Wednesday evening and then responding as directed to further comments I provide as well as your fellow classmates’ initial responses. The balance of the readings follow the flow of the topics that will be covered during the intensive weekends. Where I indicate that material should be skimmed, I really do mean skim!

Week 1 – January 13 – Public Goods
   Required Reading: Fiscal Administration, pp. 1-15
   Guide to Local Government Finance in California, Appendix A

Week 2 – January 19 – Calculating Growth Rates
   Required Reading: Fiscal Administration, p. 38 (Sidebar 2-2)

Week 3 – January 26 – Budget Balancing Tools
   Required Reading: Memos to the Governor, Memo 5
   California in the Balance, Chapter 5

Week 4 – February 2 – Taxes versus User Fees
   Required Reading: Fiscal Administration, Chapters 7 & 11
**Week 5 – February 9 – Breakeven Analysis**
Required Reading: *Fiscal Administration*, pp. 149-150 (Sidebar 4-1)

**Weeks 6 & 7 (First Intensive Weekend – February 21 - 23)**

**Friday**

Public Budgeting, What is a Budget, the Budget Process, How are Budget Decisions Made, Analyzing Costs

Required Reading: *Fiscal Administration*, Chapter 2 (except pp. 54-60); pp. 141 – 161 & 192 – 201
*Memos to the Governor*, Memos 1-4 & 6-8
*California in the Balance*, Chapters 1 - 4
*Guide to Local Government Finance in California*, Chapters 8 (pp. 89-100) & 9
“Understanding the Role of Conflict in Budgeting” by Rubin
“The Dance of the Dollars: Classical Budgeting” by Wildavsky & Caiden
“Preparing Agency Budgets” by Rogers & Brown *(Skim)*
“How to Read a Budget” by Hayes

**Saturday**

Budget Documents, the Structure of California’s Budget, Performance Improvement, Internal Controls and Auditing

Required Reading: *Fiscal Administration*, Chapter 2 (pp. 54-56), Chapter 4 (pp. 161-170), Chapter 5 (pp. 201 – 232)

**Sunday**

Taxation, Estimating Revenues, Revenue Sources, Local Government Budgets and State-Local Fiscal Relations

Required Reading: *Fiscal Administration*, Chapters 3 & 13. *Skim* Chapters 8, 9 & 10
*Guide to Local Government Finance in California*, Chapters 2, 4, 5 (45 – 48), 6, 16, & *Skim* Appendix B
“State and Local Government Budgeting: Coping with the Business Cycle” by Wolkoff
“What You Should Know About Your Local Government's Finances” by the Governmental Accounting Standards Board

**Week 8 – March 2 – Discounting**
Required Reading: *Fiscal Administration*, pp. 258-263
Week 9 – March 9 – Federal versus State Deficits
   Required Reading: “The Rhetoric and Reality of Balancing Budgets” by Caiden

Cost Analysis due March 10th

March 17 – 22 – Spring Recess

Weeks 10 & 11 (Second Intensive Weekend – March 28 - 30)

Friday

Federal Budget Process, Budget History and Budget Reform, Student Presentations of Budget Justifications
   Required Reading: “How Congress Controls Expenditures” by Ellwood California in the Balance, Chapter 6

All Budget Justifications due at the beginning of class.

Saturday

Accounting, Cash Management and Investing, Pensions, Capital Budgeting, and Financing, Student Presentations of Budget Justifications
   Required Reading: Fiscal Administration, pp. 56-61 & Chapters 6, 15 & 16
   Guide to Local Government Finance in California, Chapters 3, 8 (pp. 101 – 107), 10-12
   California Public Fund Investment Primer, (Skim) Chapter 1 (pp. 5-13); Chapter 2 (pp. 39-49); Chapter 3 (pp. 99-127); Chapter 5 (pp. 211-223) (http://www.treasurer.ca.gov/cdiac/invest/primer.pdf)
   “Beyond Total Return” by Finkelstein & Landerman California Debt Issuance Primer, Preface & Chapters 1 & 7 (http://www.treasurer.ca.gov/cdiac/debtpubs/primer.pdf)
   “Budgeting for Capital Improvements” by Bland & Clark (Skim)

Sunday

Fiscal Management Issues in Nonprofits, Student Presentations of Budget Justifications, Final Exam
   Required Reading: “Program Budgeting Works in Nonprofit Institutions” by Macleod
Week 12 – April 6 – Proposition 13

Week 13 – April 13 – Strengthening the State Budget Process
Required Reading: California in the Balance, Chapter 7

Week 14 – April 20 – Measuring Performance
Required Reading: Guide to Local Government Finance in California, Chapter 7
Chapter 6 (Budgeting for Improved Performance) in A Budgeting Guide for Local Government, by Bland, (in the class reader)
“Why Measure Performance? Different Purposes Require Different Measures” by Behn
“Managing for Results in State Government: Evaluating a Decade of Reform” by Moynihan

Week 15 – April 27 – Local Fiscal Reform and Staff’s Role
Required Reading: Guide to Local Government Finance in California, Chapter 17

Statement for Students with Disabilities
Any student requesting academic accommodations based on a disability is required to register with Disability Services and Programs (DSP) each semester. A letter of verification for approved accommodations can be obtained from DSP. Please be sure the letter is delivered to me as early in the semester as possible. DSP is located in STU 301 and is open 8:30 a.m.–5:00 p.m., Monday through Friday. Website and contact information for DSP: http://sait.usc.edu/academicsupport/centerprograms/dsp/home_index.html, (213) 740-0776 (Phone), (213) 740-6948 (TDD only), (213) 740-8216 (FAX) ability@usc.edu.

Statement on Academic Integrity
USC seeks to maintain an optimal learning environment. General principles of academic honesty include the concept of respect for the intellectual property of others, the expectation that individual work will be submitted unless otherwise allowed by an instructor, and the obligations both to protect one’s own academic work from misuse by others as well as to avoid using another’s work as one’s own. All students are expected to understand and abide by these principles. SCampus, the Student Guidebook, (www.usc.edu/scampus or http://scampus.usc.edu) contains the University Student Conduct Code (see University Governance, Section 11.00), while the recommended sanctions are located in Appendix A.

Students will be referred to the Office of Student Judicial Affairs and Community Standards for further review, should there be any suspicion of academic dishonesty. The Review process can be found at: http://www.usc.edu/student-affairs/SJACS/. Information
on intellectual property at USC is available at:
http://usc.edu/academe/acsen/issues/ipr/index.html
**Public Policy Analysis**  
School of Public Affairs  
Arizona State University

**Spring 2009**

- **Class Hours:** Monday, 5:40-8:30 pm  
- **Class Location:** Phoenix, UCENT 253  
- **Class Website:** Blackboard (http://my.asu.edu)

- **Instructor:** Yushim Kim, Ph.D.  
- **Email:** ykim@asu.edu  
- **Office:** UCENT ste. 445  
- **Office hours:** Monday 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 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.

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**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 or if it is necessary). Students are expected to participate actively in class discussions. In this course you will be responsible for case analyses, a policy paper, presentations, and class participation. The assignments are explained in more detail below.
Readings

Required Readings
[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 fully 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 by the end of spring break (by March 13, 2009). 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 40%
2. Final paper 40%
3. Participation 20%

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 must present excellence beyond the minimum requirements in this syllabus.

Class Assignments & Evaluations

1. Case Analyses & Presentation [40%]

1.1. Case Analyses [20%]

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, each group will pick a policy that they would like to examine at the beginning of the semester. This policy will be the context of your research. A list of example policies that you can choose is provided below. Note that you will work on this policy for all assignments this semester.
Example Areas/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, each team will write six case analyses as listed in the course schedule (p. 7). Frame and analyze your policy case using a concept, model, or framework from the weekly readings. You should answer the following questions.

**Case Analyses on Policy Process**

- **CA #1**: Analyze your policy based on the Gupta’s policy process model, focusing on the agenda-setting stage of the policy.
- **CA #2**: Identify institutional and non-institutional players of your policy. Explain how they influenced in shaping or changing the policy.
- **CA #3**: Which model best describes the implementation of your policy? Muddling-through, game, or evolution? Explain why and how.
- **CA #4**: What have previous empirical studies reported on the effectiveness of your policy? Criticize primary findings of these studies.

**Case Analyses on Policy Analysis**

- **CA #5**: Frame a problem that your policy aimed to address from at least two different points of view. Discuss a logical solution from each point of view.
- **CA #6**: Which criteria should be considered when addressing the policy problem you have chosen? Why? Any trade-offs?
- **Extra Analysis**: Submit an assignment on cost-benefit analysis (separately given in class, not included in the case analysis assignment, but bonus points will be given for completion and correct answers)

Third, each case analysis should be posted in the blackboard (Discussion Board) before every Sunday before 9:00 pm. This will allow me and others to read your analysis before class so that we can address major issues and questions after reading your reports.

The grade for this assignment will be given after each group finishes all case analyses. The grade will reflect your overall progress and performance on the overall assignment rather than being based on single case analyses. The same grade will be given to every group members.

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

Your team will present or discuss your case analysis in class (once during the semester). Since everyone is expected to read all class readings, this assignment will provide us with great context for class discussion. 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. The following
aspects of your presentation will be evaluated: (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. Students will evaluate your team’s performance. The presentations will be scheduled on the first day of class. Each team can decide how they want to present by themselves. There is no required or preferred format for presentations.

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 will have approximately 1 hour and 30 minutes. The actual presentation should be no more than 60 minutes. Other students will have an opportunity to discuss your presentation afterwards.

2. Final Paper & Memo [40%]

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 as a team 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 a specific dimension of a policy analysis. These are the option you may consider. Please pick one and write a final paper as a group.

A. Defining a Policy Problem
Policy analysts have learned that it is extremely challenging to define a policy problem in an agreeable format. Your team may attempt to structure a policy problem in this assignment. My questions for this assignment are: (1) what is a problem that the policy you chose aim to address?; (2) why is it a problem from whose perspective?; (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? Recommendations are optional.

B. Identifying and Evaluating Alternatives
It is inevitable that policy analysis has a qualitative aspect especially when we think about policy alternatives and selection criteria. Your team may think about policy alternatives to address your policy problem and evaluate them based on policy criteria selected. Be critical and clear on explaining trade-offs. Your final paper should include a Criteria and Alternative Matrix (CAM). You can add qualitative or quantitative evaluation on alternatives. Recommendations should be reasonable and persuasive.

C. Performing Cost-Benefit Analysis
Despite of well-known issues, cost-benefit analysis is used as one of useful policy tools to make a policy decision. If your team wants to do a quantitative and analytical project for a final paper, you may pick this option. Come up with two or three compelling alternatives to address a policy problem on which your team decided to focus. Identify tangible/intangible costs and benefits (at least 10 items, but no more than 20 items for costs and benefits). Perform a cost-benefit analysis. Consider and discuss discounting. Report the result with shortcomings, limitations, and
weaknesses.

The policy paper should be single-spaced, 12-point font, and no more than a total of 5,000 words (excluding references, tables, and figures). A cover sheet should be included with your name, title, course number, date, and word count. 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 6 web articles will be counted as references. All in-text citations and references should follow APA citation format. At the end of the paper, you must add an acknowledgment which explains who contributed to what or how for the final paper with signature of each member (exclude acknowledgment for word counting).

The policy paper will be submitted by May 6, 2009, 9:30 pm 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 to relevant decision makers or stakeholders. The memo should be single-spaced with 12-point font. You will submit the memo with your final copy of the policy analysis paper by 9:30 pm on May 6, 2009.

2.3. Presentation

At the end of the semester, each team will present your policy paper in class. Each team should prepare for approximately 30 minutes of presentation and 15 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 15 slides. We will schedule the presentations in class on April 14, 2009.

3. Participation [20%]

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 receive clarification of anything you have read or heard 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 two times this semester, the best participation grade you will earn is a B.

Finally, I would like to meet with each team for about 20 minutes after class 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 your team 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 on the first day of class.
Schedule of Topics and Assignments: Spring 2009

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<td>No class</td>
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<td>2</td>
<td>1/26</td>
<td><strong>Introduction</strong></td>
<td>Submit class survey</td>
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<td>• Syllabus</td>
<td>Schedule case analysis presentation</td>
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<td>• Policy science</td>
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<td>3</td>
<td>2/2</td>
<td><strong>PAF504 Review</strong> - Rationales</td>
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<td>• Market, expert, and democratic decisions</td>
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<td>4</td>
<td>2/9</td>
<td><strong>Public Policy</strong> - Nature</td>
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<td>• What is public policy?</td>
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<td>• Policy analysts – Role, ethic, &amp; value</td>
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<td><strong>Public Policy</strong> - Process</td>
<td><strong>Due for a case analysis (1)</strong></td>
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<td>• Agenda-setting</td>
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<td><strong>Public Policy</strong> - The Players</td>
<td><strong>Due for a case analysis (2)</strong></td>
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<td>• Institutional and noninstitutional actors</td>
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<td><strong>Ex Post: Formative Evaluation</strong></td>
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<td>• Performance monitoring</td>
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<td>3/9</td>
<td>Spring Break</td>
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<td><strong>Ex Post: Summative Evaluation</strong></td>
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<td>• Evaluation</td>
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<td>• Impact/outcome evaluation</td>
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<td><strong>Ex Ante: Problem Definition</strong></td>
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<td>• Structuring problems</td>
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<td>• Stakeholder analysis</td>
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<td><strong>Ex Ante: Selection of Criteria</strong></td>
<td><strong>Due for a case analysis (6)</strong></td>
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<td>• Decision criteria</td>
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<td>• Trade-offs</td>
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<td><strong>Ex Ante: Comparison of Alternatives</strong></td>
<td><strong>Due for an extra analysis</strong></td>
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<td>• Cost-benefit analysis</td>
<td>Schedule paper presentation</td>
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<td>• Discounting</td>
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<tr>
<td>13</td>
<td>4/13</td>
<td>Practice of Policy Analysis (I)</td>
<td>Draft of policy paper due (optional)</td>
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<tr>
<td></td>
<td></td>
<td>• Collaborative policy-making</td>
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<td>• Experiencing the Decision Theater</td>
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<tr>
<td>14</td>
<td>4/20</td>
<td>Wrapping up</td>
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<td>• Evolution</td>
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<tr>
<td>15</td>
<td>4/27</td>
<td><strong>Student Presentation (I)</strong></td>
<td></td>
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<tr>
<td>16</td>
<td>5/4</td>
<td><strong>Student Presentation (II)</strong></td>
<td><strong>Due for a final paper and a memo</strong></td>
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<td>(May 6, 9:30 pm)</td>
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</tbody>
</table>
Reading Assignments

Week 1 (1/19):  Martin Luther King, Jr. Holiday (No Class)

Week 2 (1/26):  Introduction

[On] Syllabus


Online*
How a bill becomes law [Video] http://youtube.com/watch?v=mEJL2Uuv-oQ
http://library.osu.edu/sites/reference/govdocs/leghis.htm
http://library.osu.edu/sites/reference/govdocs/ppm801~1.htm

* You need to learn these sites for case analyses.
To access LexisNexis, see the blackboard – External Links – LexisNexis Congressional

Week 3 (2/2):  PAF 504 Review - Rationales for Public Policy


[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


Week 5 (2/16):  Public Policy - Process
Week 6 (2/23): Public Policy - The Players

[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 36: The Consultant Corps

Week 7 (3/2): Ex Post – Formative Evaluation

[TC] Chapter 14: The Science of “Muddling Through”
[TC] Chapter 16: Implementation Game
[TC] Chapter 17: Implementation as Evolution

Week 8 (3/10): Spring Break (No Class)

Week 9 (3/16): Ex Post – Summative Evaluation

[TC] Chapter 19: The Role of Evaluation in the Public Policy
**Week 10 (3/23): Ex Ante - Problem Definition**


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**Week 11 (3/30): Ex Ante - Selection of Criteria**


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**Week 12 (4/6): Ex Ante - Comparison of Alternatives – C/B Analysis**


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**Week 13 (4/13): Practice of Policy Analysis**

We will meet at the Decision Theater.


Week 14 (4/20): Wrapping Up

[TC] Chapter 20: Trends in Policy Analysis

Week 15 (4/27): Student Presentation (I)

Week 16 (5/4): Student Presentation (II)
Other

Late Assignments
I expect you to turn in all assignments on time. Assignments not turned in on time will be marked down by 1 points for each day they are late from your total score for final grade. 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 mentioned. 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. 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 cannot 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 (blackberry, iPhone, etc) 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

Policy Process

Policy Analysis
Background
This course explores fundamental concepts and approaches to public policy, what government does in the name of the governed and how we determine what to do and not to do. Policy actors, policy process and policy issues are all part of the domain. One of the goals of the course is to provide participants with an understanding of how policy is made, especially in a complex political economy like that of the United States. Another goal is to provide students with tools and language for assessing, advocating, or managing the development of substantive policies. Finally, while not all substantive policy domains can be explored in a course like this, the course will introduce participants to a number of current policy issue domains. This course gives special attention to intergovernmental relations, the roles of administrators and policy analysts in policy making, and evaluating policy performance.

Course Methods
The course achieves its goals through reading, writing, lecture, and discussion. In an intensive weekend format course, there is an assumption that significant independent work will be completed between meetings. Meetings will be divided into several in class activities as well as text based discussions and lectures. Preparation and participation is assumed and will be evaluated. Because we will be discussing public policy issues over which students may disagree, it is important to underscore that this class expects civil behavior where both the educational mission and the democratic mission are undergirded by the tenets of enlightenment philosophy. We can all learn and develop greater insights, deeper understanding, and stronger commitments by civil discourse in the public sphere. We will carry out the class sessions as a model of such discourse—when we disagree we will do so agreeably. Be prepared to listen as well as talk, reflect as well as present, and change as well as maintain your convictions with courage.

Learning Goals
- Develop a basic understand of policy process in the American political economy;
- Develop an understanding of the roles of analysts, advocates, and decision-makers in policy making;
- Develop an understanding of competencies important to policy analysis, advocacy, and management; and
- Obtain an introductory understanding of techniques and technologies associated with policy analysis, advocacy, and management.
Required Texts:

  

Plus One of the following or Alternative arranged with the instructor:

(Please read the remainder of syllabus before ordering).

DRUGS:


SOCIAL SECURITY:


PUBLIC LAND POLICY:


HEALTH CARE:


EDUCATION:


ENERGY:


Optional Texts:

Performance Assessment Data Collection

The new NASPAA (National Association of Schools of Public Affairs and Accreditation) standards call for performance-based assessments of course effectiveness and student learning toward the EMPA program mission. To make these assessments, the EMPA faculty must collect examples of student work. This includes collecting and making copies of your major papers, major examinations, final papers, group project reports, copies of electronic postings on d2l, and copies of other work as necessary. We will redact student names from as many collected papers as possible, and we will make every effort to redact publicly sensitive names and information that appears in your work. Please help us by refraining from using names and sensitive information in your written work, and by telling us if you are concerned about sharing sensitive information raised in class or in assignments.

We will collect work samples, limit access to faculty and CPS staff, store hardcopies of the work in a secured cabinet, and provide the work to the NASPAA site visitation team as requested. Sharing your work with the team is allowed under the FERPA federal student privacy act. We will also use the collected work to internally evaluate the effectiveness of instruction in each EMPA course, and to judge instructional effectiveness over the life of your cohort.

As a second evaluation of our instructional quality we will also ask you to take a short survey at the end of each course. The survey will evaluate instructor performance, textbook selection, course learning activities, your sense of mastery of the program learning competencies, and your sense of progress toward the program mission. The results of the survey will complement the collection and assessment of student work. Thank you for supporting our accreditation efforts.

Assignments

1) **Application Paper: Due March 22nd, 2014**

   Students will prepare a paper applying one model offered in the readings assigned for Session I to analyze a policy of interest. The substance of these papers will vary from student to student as the models draw different aspects of policy making to attention, i.e. policy actors, distribution of costs and gains, or policy processes. Papers should be organized as follows:

   A. Both the model and the policy issue should be summarized. Summaries should discuss the major elements, the connections between the elements, and the relevant dynamics.

   B. The issue should then be explored in some detail by analyzing the correspondence between the real world case and the selected policy model. In other words, think about a Venn diagram where the issue is one circle and the model is another. Your analysis should then show (a) what aspects of the issue are well captured by the model, (b) what aspects of the issue are not well captured by the model, and (c) what aspects of the model are not relevant to the issue.

   C. The summary should objectively discuss what the model explains well in the real world issue and what it does not explain well based on your previous analysis. The important relevant points of the issue that are not well characterized by the model should be carefully identified.
D. The conclusion should critically evaluate the contribution the model makes to understanding the case and the adequacy of the model for explaining critical aspects of the policy case. For those aspects of the issue that are not well explained by the chosen policy model, thought should be given to a conceptual frame or model that would be useful for explaining these otherwise unexplained aspects.

This paper, as all papers in this class, should be written to graduate standards. The following writing structure is suggested: Title page, introduction, description of the policy issue, description of the model, analysis of the fit between the model and the case, summary, conclusion, and references. This paper will be due in the first class meeting. This is a short paper, 4-7 pages in length, double-spaced. While a short paper, this paper should be complete with references, appropriate front matter and back matter, and well written. APA standards are to be used.

2) Policy History Paper and Policy Memorandum: Due April 12\textsuperscript{th}, 2014

This paper asks participants to review the legislative, institutional, and political history of a policy issue. The historic review is in preparation for the final paper, a policy choice paper. Choosing a common policy issue for the first paper above, this second paper and then final paper is the most efficient path through the course. There are several options regarding the nature and structure of this second paper.

\textit{Option I: Book review.}

One option is to base the second paper on one of the selected topical policy books listed in this course outline or another of your choice and instructors approval. The paper would include an introduction, a brief summary (abstract) of the book, a critical analysis of the substantive policy issue in the book that covers past policy history and the current policy context, a discussion aimed at reframing the policy issue for the purpose of the final paper and a conclusion. The critical analysis would bring other informational resources, i.e. beyond the book of primary focus, to bear on the analysis.

\textit{Option II: Policy Issue Brief}

The second option is to develop a paper that is more broadly based than Option I, where the selected text is used as one among other sources for the policy issue paper. This paper much like Option I will include an introduction and background, analysis of critical policy features (nature of the policy cluster, stakeholder interest, legislative history, policy effects, etc.), a discussion that reframes the policy issue as a policy choice for the purpose of the final paper and a conclusion.

In either option, the policy history paper should be 8-12 pages long, written to graduate standards and summarized in a policy memorandum. The policy memorandum will be a maximum of one page including heading. The policy memorandum will outline a compelling case for the policy choice which will be detailed in the final policy choice presentation and paper. This memo should be prepared for sharing among class members. Bring enough copies to distribute in class at the second session.
3) **Policy Choice Paper and Exec. Summary: Due May 3\(^{rd}\), and April 26\(^{th}\), respectively**

The final paper will be a policy choice paper. This paper will begin where the work of paper 2 ended. While there is no requirement that you use the same policy issue for all three papers, it is clearly the most efficient path through the course. This paper will follow the general guidelines offered in Bardach (2009). It will include a summary of the work in paper two. A first section will introduce the policy issue, its background and importance. A second section will summarize the policy issue, its history and context from the second paper. The weight of a policy choice paper lies in the next section where policy alternatives are analyzed against enumerated criteria. As a part of this policy choice analysis any constraints or limits to feasibility should be amplified. The final section of the paper determines a preferred alternative, states the preference as a recommendation, qualifies the recommendation and frames a path forward (i.e., strategy for implementation or next steps). This final policy choice paper will be accompanied by an executive summary. Make enough copies of the executive summary for class members and hand them out at the time of your oral policy briefing. Policy choice papers are typically 15-25 pages in length. Brevity is a virtue in policy papers and this assignment is no exception. The inclusion of data as figures often increases the length. Be sure to include appropriate references, credits, and appendices.

4) **Oral Policy Briefing: Presented last day of class, April 26\(^{th}\)**

The final assignment will be an oral policy briefing and associated PowerPoint presentation. Each class member will make a presentation during the last session of the class. The time for each policy briefing will be determined by the number of students in the class. As in real time, expect these briefings to be brief (five minutes at the least and perhaps ten minutes maximum). The learning goal for this session is both substantive and process-oriented: (a) to gain a working knowledge of policy development for a domain in which you have particular interest and expertise; (b) to gain an understanding of a number of policy domains, some of their associated challenges, and policy choices; and (c) to develop experience in presentation of a policy issue and it’s choices and critique of other’s presentations.

**A Note about timely submission of assignments, products, and grading**

Learning about the American policy process, substantive policy domains, roles of the various policy players, developing competencies for policy analysis, advocacy, and management along with associated techniques and technologies is a daunting process. It is best accomplished through good class preparation, submittal of assignments on time, vigorous class discussions and presentations, and feedback from the instructor on assignments. It will be difficult for you if you miss assignment dates or classes. There is some opportunity for scheduling remedial time with the instructor, but it is not as good as live class attendance and the ensuing discussions. Subtraction of up to 10% of total class grade will be made for assignments submitted after the due date.
Distribution of Grade Across Assignments and Rubric

<table>
<thead>
<tr>
<th>Assignment</th>
<th>Percentage of Grade</th>
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<tbody>
<tr>
<td>Application Paper</td>
<td>10%</td>
</tr>
<tr>
<td>Policy History Paper</td>
<td>25%</td>
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<tr>
<td>Policy Choice Paper</td>
<td>40%</td>
</tr>
<tr>
<td>Oral Policy Briefing</td>
<td>10%</td>
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<tr>
<td>Preparation</td>
<td>10%</td>
</tr>
<tr>
<td>Participation</td>
<td>5%</td>
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</tbody>
</table>

Grading Rubric

<table>
<thead>
<tr>
<th>Factor</th>
<th>Rating</th>
<th>Evaluation</th>
<th>Rating</th>
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<tbody>
<tr>
<td>Content</td>
<td>Needs Improvement</td>
<td>6</td>
<td></td>
</tr>
<tr>
<td>Flow of Logic</td>
<td>Minimally Meets</td>
<td>7</td>
<td></td>
</tr>
<tr>
<td>Relevancy</td>
<td>Good</td>
<td>8</td>
<td></td>
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<tr>
<td>Presentation</td>
<td>Very Good</td>
<td>9</td>
<td></td>
</tr>
<tr>
<td>Average</td>
<td>Outstanding</td>
<td>10</td>
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</table>

Guidelines for Application Paper

Students will prepare a paper applying one model offered in the readings assigned for Session I to analyze a policy of interest. Additional models will be presented in class lectures which students will draw upon for subsequent assignments. The substance of these papers will vary from student to student as the models draw different aspects of policy making to attention, i.e. policy actors, distribution of costs and gains, or policy processes. Papers should be organized as follows:

E. Both the model and the policy issue should be summarized. Summaries should discuss the major elements, the connections between the elements, and the relevant dynamics.

F. The issue should then be explored in some detail by analyzing the correspondence between the real world case and the selected policy model. In other words, think about a Venn diagram where the issue is one circle and the model is another. Your analysis should then show (a) what aspects of the issue are well captured by the model, (b) what aspects of the issue are not well captured by the model, and (c) what aspects of the model are not relevant to the issue.

G. The summary should objectively discuss what the model explains well in the real world issue and what it does not explain well based on your previous analysis. The important relevant points of the issue that are not well characterized by the model should be carefully identified.

H. The conclusion should critically evaluate the contribution the model makes to understanding the case and the adequacy of the model for explaining critical aspects of the policy case. For those aspects of the issue that are not well explained by the chosen policy model, thought should be given to a conceptual frame or model that would be useful for explaining these otherwise unexplained aspects.

This paper should be, as should all papers in this class, written to graduate standards. The following writing structure is suggested: Title page, introduction, description of the policy issue, description of the model, analysis of the fit between the model and the case, summary, conclusion, and references. This paper will be due in the first class meeting. This is a short paper, 4-7 pages in length, double-spaced. While a short paper, this paper should be complete with references, appropriate front matter and back matter, and well written, using APA standards.
Course Outline

PA 533 Public Policy, Spring 2014
Weekend Intensive Format

Session I

Policy, Policy Process and Policy Models
Date: March 22\textsuperscript{nd}, 2014
Topics: Introduction to policy and policy making
American Political Economy, Federalism, and IGR
Policy Models: actors, interests, and process
Readings: Birkland: Chapter 1, 2, 3, 5, 6, 9, and 10
Optional: Stone: at will
Assignments Due Session I: Draft Application Paper

Session II

Policy Tools, Policy Effects, and Policy Analysis
Date: April 12\textsuperscript{th}, 2014
Topics: Pathways to creating change: History as time and place
Rational analysis in a political world: The role of information
Structuring problems for analysis: Analyzing structured problems
Readings: Bardach: All; Policy issue book of your choice
Optional: Neustadt and May: at will.
Assignments Due Session II: Policy History Paper and Policy Memo

Session III

Substantive Policy Domains and Evaluating Policy Understanding
Date: April 26\textsuperscript{th}, 2014
Topics: Review of selected substantive policy domains
Evaluation of policy choice analysis techniques
Evaluation of oral briefing techniques
Summary of public policy: origins and process
Readings: Birkland: Chapter 7& 8; Hand out materials on accountability
Selected substantive policy book
Assignments Due Session III: Policy Choice PPT Presentation & Exec. Summary

* NOTE: Students can select substantive policy books other than those suggested with instructor approval. The key is that the book provides an analytic approach to the policy domain rather than a polemical approach.
BUSH 615:601/602 Introductory to Policy Analysis  
Fall 2013 Course Syllabus

Instructor: Dr. Gina Yannitell Reinhardt  
E-mail: gyannirein@tamu.edu  
Office: 1096 Allen Building  
Phone: (979) 845-6671  
Website: www.ginareinhardt.com  
Office Hours: Wednesdays, 2:30-3:30; Thursdays, 5-6*; and by appointment.  
*Note: Thursday office hours are cancelled on Aug 29 and Oct 24.

Class Day, Time, & Location
615:601  Allen 1063  Wednesdays  9:35 – 12:15  
615:602  Allen 1041  Thursdays  1:30 – 4: 20

Required Textbooks and Readings
Additional readings will be made available to students via the course website.

Course Prerequisites
This course presumes an understanding of basic economics. It is recommended that you have taken one (or two) of the Bush School’s courses on Microeconomics and/or Public Finance. The majority of the work we will do is based on the framework learned in those courses, including Chapters 2-8 of the Weimer and Vining text.

Course Description
This course helps you develop the conceptual foundations and practical techniques that enable you to become intelligent consumers and effective producers of public policy analysis. We examine rationales for government intervention in markets, exploring how policy problems are identified and articulated, and explaining a general approach for policy analysis. You will also learn some practical tools in conducting policy analysis, and employ case studies to illustrate the concepts and techniques of policy analysis and debate. Finally, you will utilize these tools yourself in analyzing a policy question.

Each student will carry out a policy analysis project as a member of a pair of analysts. Students may choose their project and hypothetical client from a list of potential projects, and choose their partners in the process (no more than 2-3 people per group). Project questions might be something like: Should Texas adopt laws to restrict the use of cell phones while driving motor vehicles? Client: House Committee on Transportation; Does the US have appropriate laws and adequate enforcement capability for combating identity theft? Client: Attorney General. Students will be asked to write a 15-page report for their client, create a PowerPoint presentation that summarizes their project, present and discuss their project, and provide a constructive critique of another group’s policy analysis project.
Learning Outcomes:
By the end of the semester, you should be able to:
- Demonstrate an understanding of key concepts and methods of policy analysis.
- Demonstrate the fundamental skills of written communication.
- Define policy problems.
- Demonstrate how policy analysis facilitates a choice among policy alternatives.
- Discuss the role of policy analysis and the policy analyst in government and the non-profit sector.

Professional Expectations
A part of graduate study is learning to learn from every possible source – from readings, peers, life experiences, the instructor, and research projects. The excellence of each student’s preparation, assignments, and participation in reasoned, thoughtful discourse in class drives the success of the learning experience, and ultimately each student’s grade. Each student and his/her contributions should be treated with respect, and no student should feel marginalized, minimized, or otherwise discriminated against. Being in class on time and prepared to contribute, as well as actually contributing are signs of respect for fellow students and your commitment to the graduate learning process. The instructor will directly counter any unprofessional or disrespectful activities.

COURSE REQUIREMENTS AND GRADING
Your attendance and active participation is expected. The material we cover is challenging, and classroom discussion is essential to fully understand the concepts and techniques contained in the readings. I expect that your participation will reflect your careful consideration of assigned readings. Quality contributions to class discussion include asking questions, offering opinions, careful listening, and consideration and respect for the opinions of your classmates. A simple cost-benefit analysis will indicate that class attendance and participation are well worth the effort (i.e., unless you attend regularly, you are very likely to fail this class). Several components will determine each student’s final course grade, described below:

1. Discussion Leader (10 points)
2. Active Participation (15 points)
3. Homework Assignments (28 points)
4. Policy Analysis Project Report (25 points)
5. Project Presentation (12 points)
6. Critique of Peers (10 points)

Earning 100 points will be considered perfect performance for this course. Grades will be allocated based on your earned points. There is no extra credit for this course.

Homework Assignments (28 points)
All of the homework assignments will focus on the student’s policy analysis project. Students will complete four homework assignments, each of which is worth one-fourth of the homework grade:
1. Policy Brief (2-3 pages and presentation; 7 points)
2. Annotated Bibliography (5-7 pages; 7 points)
3. Political Feasibility Homework (2-3 pages; 7 points)
4. Goals and Alternatives Matrix (2-3 pages and presentation; 7 points)

Homework Assignments #1 and #2 are to be your own independent written work. Your policy brief presentation may take place in groups, and your group may coordinate which sources are annotated by which group members, to avoid overlap. Homework Assignments #3 and #4 are to be the joint work of your project team.
Critique of Peers (10 points)
During the last class sessions, students will present their project reports to the rest of the class. Each student will be randomly assigned to write a 1-page critique of one of the project reports presented by a fellow classmate.

Late Work Policy
Late assignments will not be accepted. Early assignments will always be accepted. If you find yourself in a situation where you cannot make it to class and cannot give your homework to a colleague to turn in for you, you may email the homework to me, along with an explanation for why you are not in class. Otherwise, you are expected to attend class and turn it in yourself.

Your final project is due at 11:00am on Tuesday, December 10, 2013. If you turn in your project on December 10th after 11:00am, you will be penalized 1.5 points. From then on, until you turn in your project, every time the clock strikes midnight, you will be penalized 1.5 more points.

TAMU email account
Students must have a TAMU email account. I will often send out class announcements, reminders, or logistical instructions using this email system. You are responsible for making sure that your TAMU account is current and working.

Grading Standards:
All grades are dispensed using the following scale:

- 90-100 points: A - Extraordinary, excellent work and mastery of concept
- 80-89 points: B - Good work and solid command of concept
- 70-79 points: C - Adequate work and sufficient understanding of concept
- 60-69 points: D - Poor work, little understanding of concept
- 60< points: F - Lack of work, no understanding of concept

Honor Code
Every student is expected to adhere to the Aggie Honor Code:

An Aggie does not lie, cheat, or steal or tolerate those who do.

If you are found guilty of plagiarism or cheating, you will fail the assignment, you will probably fail the course, and you will likely be recommended for expulsion. If you have any questions about Honor Council Rules and Procedures, you may find more information at http://www.tamu.edu/aggiehonor.

Students with Disabilities
The Americans with Disabilities Act (ADA) is a federal antidiscrimination statute that provides comprehensive civil rights protection for persons with disabilities. Among other things, this legislation requires that all students with disabilities be guaranteed a learning environment that provides for reasonable accommodation of their disabilities. If you believe you have a disability requiring an accommodation, please contact the Department of Disability Services in Cain Hall, call 845-1637, or email disability@tamu.edu.
## COURSE SCHEDULE

<table>
<thead>
<tr>
<th>WEEK</th>
<th>FIRST HALF</th>
<th>DISCUSSION LEADERS</th>
<th>SECOND HALF</th>
<th>READINGS/ASSIGNMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Week #1 (8/28 or 8/29)</td>
<td>Introductions and Project Assignments</td>
<td></td>
<td>Elements of a Policy Debate</td>
<td>Read: W&amp;V Ch. 1</td>
</tr>
</tbody>
</table>
| Week #2 (9/4 - 9/5) | The Foundations of Policy Analysis  
- Instructor Notes, online.pdf  
- Weimer and Vining (W&V): Ch. 1 & 2 | Presenter: Sally DeWade, Writing Consultant  
Topic: How to Write a Policy Brief | Current Issues in Public Policy  
- Foreign Affairs  
- National Security Policy | Read & Outline: W&V Ch. 1  
Go over the case study and outlines from W&V Ch. 1  
CQ Researcher:  
Ch. 1: Rising Tension Over Iran  
Ch. 2: Foreign Aid and National Security |
| Week #3 (9/11 – 9/12) | Policy Brief Presentations | Everyone Presents | Policy Brief Presentations | Everyone Presents |
| Week #4 (9/13 – 9/14) | The Eightfold Path  
- Bardach: Part I & II  
- W&V: Ch. 14 | 1._____________  
2._____________ | Current Issues in Public Policy  
- Social Policy | CQ Researcher:  
Ch. 11: Immigration Conflict |
| Week #5 (9/25 – 9/26) | Policy Options  
- W&V: Ch. 9 & 10  
- Bardach: Appendix A & B | 1._____________  
2._____________ | Current Issues in Public Policy  
- Social Policy  
Professional Development:  
- Networking and Finding places to Apply | CQ Researcher:  
Ch. 12: Gay Marriage Showdowns |
| Week #6 (10/2 – 10/3) | Adoption and Implementation  
- W&V: Ch. 11-13  
- Bardach: Appendix D | 1._____________  
2._____________ | Current Issues in Public Policy  
- Business and the Economy  
Professional Development:  
- Resumes and Cover Letters | CQ Researcher:  
Ch. 8: Financial Misconduct |
| Week #7 (10/9 – 10/10) | Cost Benefit Analysis (CBA)  
Analysis  
- Instructor's Supplemental Notes  
- W&V: Ch. 16, pgs. 383-399 | 1._____________  
2._____________ | Current Issues in Public Policy  
- National Politics | CBA Class Exercise #1  
CQ Researcher:  
Ch. 3: Farm Policy |
| Week #8 | Discounting and Risk  
• W&V: Ch. 16, pgs. 399-423  
Statistical Analysis  
• W&V: Ch. 17 | Current Issues in Public Policy  
• Foreign Affairs and National Security Policy  
CBA Class Exercise #2  
CQ Researcher: Ch. 15: Unrest in the Arab World |
|---|---|
| Week #9 | Goals, Criteria, and Policy Alternatives  
• W&V: Ch. 15 | Current Issues in Public Policy  
• Foreign Affairs and National Security Policy  
CQ Researcher: Ch. 16: Privatizing the Military |
| Week #10 | Meetings with Professor on 10/30 and 10/31 | |
| Week #11 | Goals and Alternatives Matrix Presentations  
*Everyone Presents* | Goals and Alternatives Matrix Presentations  
*Everyone Presents* |
| Week #12 | Ethics and Policy Analysis  
• W&V: Ch. 3  
• Bardach: Part III | Professional Development:  
Conduct in the Workplace  
First Group Presents Final Report in Thursday Section |
| Week #13 | Project Presentations  
Teams: #1, #2, and #3 | Project Presentations  
Teams: #1, #2, and #3 |
| Week #14 | Project Presentations  
*NOTE: Assign Students to Peer Critique*  
Teams: #4, #5, and #6 | Project Presentations  
Teams: #4, #5, and #6 |
| Week #15 | *Final project report and peer critique due at 11am on December 10, 2013* | |
Thoughts when you Read and Prepare to Participate

Some subjectivity in evaluating your participation will be irreducible; this will also be the case when evaluating any policy analysis situation in your life. I will, however, try to follow the basic rubric below when assessing your participation grade. Since participation is worth 15% of your overall grade, it is important for you to be aware of how well you are participating every week. Keep in mind that you do not begin with a full stock of participation points that get whittled away if you commit transgressions (like falling asleep in class or chatting with friends on facebook). Rather, you must build up points by actively engaging in class. If you feel it is difficult to participate, you can prepare talking points ahead of time to work into the discussion, or post links, questions, or discussion points on elearning. With several people in class, it may take some guts to get your point in, so be assertive – you don’t want your grade to suffer, and we want your input!

<table>
<thead>
<tr>
<th>Points</th>
<th>Out of 20 possible points, your participation will be assessed as follows:</th>
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<tbody>
<tr>
<td>13.5-15</td>
<td>- Give criticisms/comments on the readings that illustrate careful reflection</td>
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<td></td>
<td>- Reference suitable material from outside class (events, news, experience)(^i)</td>
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<td>- Reflect on class activities and how they relate to our pursuit of policy analysis, and/or our understanding of the reading(^ii)</td>
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<tr>
<td>12-13.5</td>
<td>- Engage in class activities and discussion through volunteering to speak, lead groups, answer questions, read excerpts, etc.</td>
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<td>- Ask about confusion, problems, etc., or point out issues of contention</td>
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<td></td>
<td>- Raise points of interest from the reading</td>
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<tr>
<td>10.5-12</td>
<td>- Come to class on time every day (or make up class properly)</td>
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<td>- Speak when called upon and participate in activities when told what to do</td>
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<td>- Use facebook, IM, emails, games, etc., when not actually speaking</td>
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<td>- Pass notes/computers back and forth with classmates</td>
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<tr>
<td>Below 10.5</td>
<td>- Come to class late, disrupt discussions, miss class without making up</td>
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<tr>
<td></td>
<td>- Eat starburst(^TM) in class or wear capes</td>
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Making up Participation for a Missed Class Meeting:
Keep in mind that missing a class meeting for us is missing an entire week of class – 2 meetings for a standard course. To make up this participation, you should find an outside lecture (on campus, in the Bush School, online) to attend that is relevant to a policy or policy analysis you find interesting. Write a one-page paper about what you learned and how it pertains to our course and what we are learning. Turn it in to me within two weeks of missing class.

NOTE: This is only acceptable for absences that have been excused by me or by the university.

\(^i\) You may also start discussions on elearning. Post articles (eg, from the Financial Times or New York Times) that pertain to class topics, and comments with the link. Bring up your article during class.

\(^ii\) These reflections can also be submitted on elearning, as discussion posts, after class.
Policy Brief - Guidelines and Rubric
(2-3 pages and presentation; 7 points)

One Brief per Person
One Presentation per Policy Group

Imagine your client/boss has just come to you with your policy question and said, “Please give me a brief on this in a week.” Briefs are short, succinct, informative documents that convey the most essential elements on an issue. You should strive for a succinct presentation of information that would be helpful to a client, informing him/her of the basic policy problem and the paths you intend to take to address that problem. You have one week to collect the basic information that outlines these essential elements to your client. Your brief might present, or foreshadow, the areas your policy project will explore over the semester (background, potential evaluation criteria, key players, alternatives, etc.). Extra kudos will given to those students who delve into the dimensions of the policy goals and discuss how those particular goals/dimensions will be affected by factors specific to the policy problem.

Remember two main things about this assignment:
- Your client has a short amount of time to read this information.
- You need to be as informative as possible about your topic.

Each sentence you use must be vital to your point. Nothing is extraneous. There is no fluff.

It is important to note that you do not have to commit yourself to any particular strategy or viewpoint at this time. Although sometimes you might be drafting a policy brief for your boss in a Congressional office, and you would know the political leanings of that boss, in our case this policy brief does not have a particular political stance. If you suggest in your brief that you will set forth 3 policy alternatives (A, B, and C), and you decide later that you will instead analyze three different alternatives (D, E, and F), that is acceptable. If you state in your brief that your project will conclude that alternative B is best, that is NOT acceptable – if you already know the outcome, what is the point of the analysis?

Grading Rubric (total points possible: 7)
Presentation (2 points)
- 1 point: overall quality and appearance
- 1 point: professionalism (typewritten, heading, no typographical errors, clean, good grammar)

Organization (1 point)
- 1 point: Logical flow, including (if necessary): headings, bullet points, introduction, conclusion

Content (4 points)
- 3 points: information on policy issue, plan of research/evaluation, relevant players/groups/individuals
- 1 point: all facts that are not common knowledge must be properly cited. News outlets are permissible for opinion-related information; government sources are suitable for reports or agency-related facts; other information should come from academic sources.
Annotated Bibliography - Guidelines and Rubric
(5-7 pages; 7 points)

One Annotated Bibliography per Person
No overlapping sources within a Policy Group

An annotated bibliography is a list of citations to sources such as books, articles, and documents. Each citation is followed by a brief (usually 150-300 words) descriptive and evaluative paragraph, the annotation. The purpose of the annotation is to inform the reader of the relevance, accuracy, and quality of the sources cited.

You might think of each annotation as consisting of 3 main points:
- **Summary:** What are the main arguments? What is the point of this book or article? What topics are covered? If someone asked what this article/book is about, what would you say?
- **Assessment:** Is it a useful source? How does it compare with other sources in your bibliography? Is the information reliable? Is this source biased or objective? What is the goal of this source?
- **Reflection:** How does this source fit into your research? Was this source helpful to you? How does it help you shape your argument? How can you use this source in your research project? Has it changed how you think about your topic?

Requirements:
- 5-7 pages in length (single-space each annotation, you may have double space between sources)
- At least 8 total sources
- At least 4 of those sources must be “scholarly” in that they are either:
  - Peer-reviewed journal articles
  - Peer-reviewed books
  - Government documents
- The remaining 4 “non-scholarly” sources may be from sources such as *Congressional Quarterly*, newspapers, the *Economist*, interviews, NGO websites, think tanks, etc.

There are several schools of style – APA, MLA, etc. You may choose any citation style you wish, as long as you are consistent across all entries in your bibliography.

*You may include more than 8 sources if you wish for extra feedback. Only 8 entries will be graded.*

**Grading Rubric (total points possible: 7)**

**Presentation** (2 points)
1 point: overall quality and appearance
1 point: professionalism (typewritten, heading, no typographical errors, clean, good grammar)

**Organization** (1 point)
1 point: summary, assessment, and reflection for at least 8 sources

**Content** (3 points)
3 points: summary, assessment, and reflection for at least 8 sources

**Style** (1 point)
1 point: consistent style and complete citation for each source (MLA, APA, or any style is acceptable)
Political Feasibility Homework - Guidelines and Rubric  
(2-3 pages; 7 points)

One Assignment per Policy Group  
No Presentation to Class

Your client/boss will always need to know the feasibility of a policy alternative’s adoption. Sometimes your client will be excited about a policy that has no chance of adoption, and it will be your job to give the client the bad news. Other times, the most feasible option is also the least exciting. Therefore, it is important for any policy analysis to include an analysis of each policy’s political feasibility. What are the chances that each policy will be adopted? This feasibility analysis will ultimately serve as the foundation for the information that undergirds the “political feasibility” row in your goals/alternatives matrix.

Before you create that “political feasibility” row, however, you need to know the actors relevant to your policy issue. What are their motivations and beliefs, and what resources do they have to use? These actors, and their motivations, beliefs, and resources, will not change, regardless of the policy alternatives you are considering. Their position or actions may change depending on the policy alternative, but their motivations, beliefs, and resources will not. Therefore, you can make a clear analysis of the political backdrop of your policy issue from which to analyze each alternative. Clarifying that political backdrop is the purpose of this assignment.

Technicalities
- Each policy group needs to turn in only one Political Feasibility assignment.
- One page of your political feasibility homework should look very similar to the chart given in Weimer and Vining (W&V) that is called “A Political Analysis Worksheet” (Table 11.2; page 276).
- Extra page(s) of the assignment should include any cited works, interviews, or other documents from which you got your information. Not every item in the table will need a citation, because some of them will be conclusions or analyses that you draw. You may also include extra pages explaining items in particular cells, if you feel that clarification is necessary. But in the end, the chart should be able to stand on its own in terms of explaining what you have learned about the actors relevant to your policy project.
- Your worksheet should have at least 4 columns: Actors, Motivations, Beliefs, and Resources. Notice that in W&V, the “Beliefs” column refers to each actor’s beliefs regarding the Ban on Random Drug Testing in the Workplace. In your assignment, you may decide to include a few extra “Beliefs” columns, if you want to surmise how each actor would feel about several specific policies (so there would be a “Beliefs -1” column, a “Beliefs – 2” column, etc.). It is not necessary to add extra columns, but you may do so if you want my feedback on your analysis of how those actors would think/feel about a particular policy element.
- If, before your final project is turned in, you refine or alter your analysis of which actors are relevant, how actors are motivated, or what their resources or beliefs are, you will not be penalized (I will not retro-grade your political feasibility assignment based on how congruous it is with your final).

Grading Rubric (total points possible: 7)

Presentation (2 points)
1 point: overall quality and appearance
1 point: professionalism (typewritten, heading, no typographical errors, clean, good grammar)

Content (4 points)
4 points: thorough and thoughtful coverage of interest groups (businesses, associations, unions, nonprofits, universities, primary/secondary schools, health groups, arts groups, trade groups, etc.), unelected officials, and elected officials, in terms of their beliefs, motivations, and resources

Style (1 point)
1 point: consistent style and complete citation for each source (MLA, APA, or any style is acceptable)
Goals and Alternatives Matrix - Guidelines and Rubric
(2-3 pages and presentation; 7 points)

One Matrix per Policy Group
One Presentation per Policy Group

As part of our policy analysis technique in this course, you will be evaluating 3-4 policy alternatives according to 8-10 impact categories (grouped into 3-5 policy goals). Your policy analysis final project will discuss how each alternative is evaluated against each of these criteria, and Weimer and Vining show in Table 1.1 (pg. 21) how this information can be placed into one unified matrix. This assignment is to create this matrix and present it to the class.

Technicalities
- Each policy group needs to turn in only one Goals and Alternatives Matrix.
- One page of your Goals and Alternatives Matrix should look very similar to the chart given in Weimer and Vining that is called “A Summary of Fishery Alternatives in Terms of Policy Goals” (Table 1.1; pg. 21).
- Extra page(s) of the assignment should include any cited works, interviews, or other documents from which you got your information. Not every item in the table will need a citation, because some of them will be conclusions or analyses that you draw.
- You may also include extra pages/notes explaining rankings in particular cells, if you feel that clarification is necessary (for example, a clarification of how you distinguish “High” from “Medium” from “Low” in a particular impact category). But in the end, the chart should be able to stand on its own in terms of explaining how each policy alternative ranks on each impact category.
- If, before your final project is turned in, you refine or alter your analysis of any alternative according to any impact category, you will not be penalized (I will not retro-grade your Goals and Alternatives Matrix based on how congruous it is with your final).

Grading Rubric (total points possible: 7)

Presentation (2 points)
1 point: overall quality and appearance
1 point: professionalism (typewritten, heading, no typographical errors, clean, good grammar)

Content (4 points)
4 points: thorough and thoughtful coverage of how each policy alternative ranks on each impact category

Style (1 point)
1 point: consistent style and complete citation for each source (MLA, APA, or any style is acceptable)
Peer Critique (10 points)
Guidelines and Rubric

One Critique per Person

Write a one-page evaluation of the presentation you have been assigned. The project critique should be based on the presentation and a conversation with the presenters. You should not need to read a draft of their paper. The critique should be one page long, and handed in with your final paper. The final paper and critique are due in my mailbox (a hard copy and an electronic one) on December 3rd at 11am. The critique is worth 10 points.

In accordance with the lateness policy for these final assignments that was outlined in the syllabus, any assignment turned in on December 3rd after 11am will be penalized 5 percentage points. Each time the clock strikes midnight, the late assignment will be penalized 5 more percentage points, until it is turned in.

In addition to a general assessment of the presentation (professionalism, ability to communicate the point, knowledge of the subject), here are some ideas to consider for your critique:

- Review their articulation and description of their policy goals.
- Do the impact criteria make sense? What are they measuring? What evidence/justification do they have for the measurement of their goals?
- Review the appropriateness of their policy alternatives. Did they leave something important out?
- Do the policy alternatives make sense for what the client is actually capable of doing?
- Have they thought about how implementation will affect their policy alternatives?
- Does the recommendation match the analysis?
- Is the analysis client-centered?
- Assuming the researchers had more time and money, what additional work needs to be done?
- Is this a useful policy analysis?

Grading Rubric (total points possible: 10)

Presentation (2 points)
1 point: overall quality and appearance
1 point: professionalism (typewritten, heading, no typographical errors, clean, good grammar)

Content (4 points)
5 points: thorough and thoughtful coverage of the assigned presentation/project

Style (1 point)
1 point: consistent style and complete citation for any source (MLA, APA, or any style is acceptable)

Organization (2 points)
2 points: Logical flow, including introduction, main points, conclusion
PAF 509 PUBLIC SERVICE  
Summer, 2005  
Intensive

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COURSE FOCUS

The job of public administrators is to identify, create, and manage public value. To produce public value, administrators facilitate the actions of many actors in the public arena. Whether public administrators actually produce public value depends on their ability to convert policy mandates into actions that deliver valuable goods and services to citizens. If administrators cannot transform visions and plans into specific actions and operations, supported by authorizing overseers, their plans will remain mere dreams. If administrators cannot think and act strategically, ethically, and democratically, they will waste public resources and forfeit their authority and opportunity to create public value. Ultimately, the quality of public goods and services depends upon administrators’ ability to align public purpose, agency mission, stakeholder support, resources, agency operations, and high quality outcomes. In this MPA capstone course, students integrate and apply core knowledge, skills, and values of public administration. Prerequisites for enrollment in this course are: (1) filing a formal program of study and (2) completing the MPA core.

COURSE OBJECTIVES

Integrate and apply core knowledge, skills, and values of public administration:

Create public value. Learn to identify and enhance public value in communities and organizations.

Act ethically and professionally. Learn to address ethical issues; understand and apply professional codes of conduct; demonstrate fairness, honesty, integrity, and ethical and legal awareness; and inspire public trust and confidence in public administration.

Enhance democratic governance. Learn to understand and value differences among individuals, democratic and representative principles, and active citizen involvement in governance.

Improve leadership skills. Enhance your ability to speak, listen, write, analyze, think creatively and strategically, collaborate, take risks, and make and implement decisions.

Conduct research on public problems. Enhance your ability to investigate, analyze, and
address public policy and administration problems.

TEACHING APPROACH

This course is based on the research and theory discussed in a journal article (required reading, ASU Library) [McGaw, Dickinson and Louis Weschler. 1999. “Romancing the Capstone: The Jewel of Public Value.” Journal of Public Affairs Education, vol. 5 (April), 89-101]. Overall design of the course follows Professor McGaw’s capstone course outline. It emphasizes critical thinking, ethical awareness, student interaction, problem-based research, decision making, and effectiveness in communication. Students demonstrate their integration of core knowledge, skills, and values by developing and presenting original case studies and policy analyses. Case studies focus on public and nonprofit managers working problems, making decisions, and taking actions in specific, problematic situations. Policy analyses focus on designing and evaluating alternative strategies of public response to public problems.

It is important at the beginning of the course that students develop their Management Advancement Plan (MAP) and learn how managers create public value and address ethical issues. In the first intensive weekend, the instructor and students examine a number of case studies of public management and policy analysis. During this weekend, the instructor meets with students (individuals, and/or groups) to discuss their research designs for conducting a case study or a policy analysis. After the instructor approves their research designs, students/group proceeds with research and write an original case study or policy analysis. In the second intensive weekend, students discuss their case studies or present their policy analyses. During the two intensive weekends, several guest speakers will be available to dialogue with the class regarding current issues and the future of public administration (subject to availability).

My role in this course is to stimulate thinking, provide direction, respond to your questions, clarify assignments, and grade fairly. I am accessible by telephone, fax, or e-mail. Please feel free to contact me about any question or concern.

GRADES

Course grades are based on four factors:

20% Class Participation: The instructor assesses the quality and quantity of your interaction in class (i.e. comments, questions, debate, interaction with guest speakers, participating with the student/groups making presentations, attending class, and adding value to the intensive format).

10% MAP Project: See specifications in the syllabus.

50% Capstone Research Papers: You demonstrate your ability to research, analyze, and address a problem in public administration by writing an original case study or policy analysis:

- Case Research (Lynn, Teaching & Learning with Cases). Case Story, Case Teaching Notes, Case Analysis. Examples will be discussed in class.
- Policy Research (Bardach, A Practical Guide for Policy Analysis). Problem Formulation, Data Collection, Data Analysis. Examples will be discussed in class.
20% Capstone Presentation: You and or group demonstrate your effectiveness in communication and ability to make the complex simple and interesting by presenting your case study or policy analysis to the class. If you are doing case research, you have 30 minutes to conduct a class discussion of the case using the facilitation techniques recommended by Lynn. If you are doing policy analysis, you have 30 minutes to present your analysis and respond to questions, following Bardach’s 8 step-approach and using Power Point slides and the Proxima (time limits may be changed depending on the size of the class). Please concentrate on your presentation skills and do your best to give a “five star” oral report of your project. Strong presentation skills will be required as you move up in your career. Criteria for presentation skills will be discussed in class.

The cutting points for grades are: 100-98 = A+, 97-92 = A, 91-90 = A-, 89-86 = B+, 85-82 = B, 81-80 = B-, 79-75 = C, (anything below is an E; failure.) By earning an “A” in this course, you demonstrate “mastery” of the knowledge, skills, and values required for the Master of Public Administration degree. By earning a “B” in this course, you demonstrate “competency” in the knowledge, skills, and values required for the MPA degree. All communications, papers, and presentations are evaluated as professional products and should reflect high professional standards of style, content, and ethics.

COURSE MATERIALS

Required texts


Lynn, L. (1999). Teaching & learning with cases. Washington, DC. CQ Press. [For students doing case study]


Source and reference books


Handouts, cases and other materials

From time to time, the instructor may provide the students with additional material for class discussion.
Defining Your Professional Mission

On June 3rd, hand in and be prepared to discuss your Management Advancement Plan (MAP) in class. The management advancement plan is your personal strategic plan. It locates where you presently are in professional competency, where you want to be in the next five years, and how you will move from where you are to where you want to be. Basically, constructing a map allows you to reflect on your life and career in the public service. Whether you are beginning a career or making a mid-career change, the purpose of the MAP is to allow you to begin thinking about strategy and tactics. Clearly the MAP changes as your personal circumstances, aspirations, and skills change. Primarily a MAP offers a snapshot of where you are at a given time and where you would like to go. As you move down the time path, you should expect to make changes and adjustments. The MAP is just a starting point for your thinking, not a concrete document intended to constrain you or your progress. Please create a brief paragraph on each of the following headings.

Before writing your MAP, review the following outline:

- **BACKGROUND.** What are you doing today and how did you get there? In addition to the expertise gained in the MPA what special skills did your acquire in your electives? What schools, degrees, job and interests define who you are?

- **FIVE-YEAR VISION.** What are your short-term professional goals? What do you want to be doing in five years, where and why?

- **VISION REQUIREMENTS.** What knowledge, skills, and values are most important for achieving this vision? Visit the ICMA web site. Go to “www.icma.org” then go to “Professional development” then go to “management practices” and it show’s the skills and competencies relevant to public administration, called “Practices for Effective Local Government Management”. Review this material to stimulate your thinking about what is required to achieve your vision. You might think of the things you describe here as being a series of steps that you make to move towards your vision.

- **SKILL ASSESSMENT.** In which ICMA knowledge areas and management skills are you the strongest? In which are you the weakest? What do you still need to learn to achieve your vision?
LEARNING PLAN. What can you do to learn what you still need to know to achieve your personal vision?

June 3rd  Defining Public Value, Organizational Mission, and Strategy

Moore, *Creating Public Value*, Introduction and chs. 1-3

- What is the purpose of managerial work in the public sector?
- What determines whether a good or service has public value?
- What is Moore’s concept of a strategic triangle?
- What does it mean to manage upward, downward, and outward?
- How do the management styles of Ruckleshaus and Miller differ?
- Which style was more effective?

On June 3rd, hand in two copies of a one-paragraph reaction to some aspect of the readings. Please be prepared to discuss your thoughts with the class.

June 4th  Politics and Ethics in Public Management

Moore, *Creating Public Value*, chs. 4-5

- Should public managers be involved in political management or not?
- What are the stakes of effective versus ineffective political management?
- How did Mahoney and Spencer differ in their styles of political management?
- Generally, who are the most important actors in a public manager’s authorizing and co-producing environment?
- Should public managers be policy advocates?
- How can managers foster public participation and deliberation?

On June 4th hand in two copies of a one paragraph reaction to some aspect of the readings. Please be prepared to discuss your thoughts with the class.

June 4th  Delivering Public Value

Moore, *Creating Public Value*, chs. 6, 7, and Conclusion

- How did Spence and Brown differ in their approaches to operational management?
- What does Moore mean by taking a strategic view of operational management?
- Compare and contrast the mechanistic and organic approaches to organizational design.
- How did Spense and Brown differ in their approach to organizing operations?
- What does Moore think managers can do to reengineer organizations?

Are public managers obligated to act as faithful agents to their political overseers
or are they obligated to act on their own moral views?
What is Moore’s view on this issue?
What values should a public manager honor most?

On June 5th, hand in two copies of a one paragraph reaction to some aspect of the readings. Please be prepared to discuss your thoughts with the class.

June 5th DuPree “Leadership is an Art”. Read all chapters. Be prepared to discuss the concepts in the book and the pros and cons of what you read. Bring in two copies of a one paragraph reaction to some aspect of the readings. Also, be prepared to discuss one article or book on leadership that has influenced your thinking about leadership during your MPA studies.

RESEARCH DESIGNS

The major purpose of the capstone course is for you to demonstrate the extent to which you have integrated and can apply core knowledge, skills, and values of public administration. For your capstone experience, you demonstrate your competency by researching, analyzing, writing, and presenting either an original case study or policy analysis. Review the expectations for both types of projects as described in this syllabus. Some problems can be approached from either mode of research, but some problems lend themselves more to one mode than another.

Please see me, telephone, or email me, if you have any questions about your choice.

OPTION 1: CASE STUDY PAPER

Lynn, Teaching and Learning with Cases, chs. 1, 12-16

How do you select a case to study? Review Lynn's suggestions for case study selection. The case works best if you are interested and knowledgeable about the situation. It is a narrative or story about some kind of conflict in which a decision or action needs to be taken. As you can see from the case studies we discussed, you write it somewhat as a journalist would---with a hook, background, body, and decision-forcing situation. I want cases in this class to end with decision-forcing questions facing decision makers. The case should enable the class to examine a problem, principle, concept, skill, or value relating to public administration and/or public policy.

Your case should demonstrate original research and writing and involve data collection using such methods as interviews, documents, newspaper articles, web research, and
observation. Newspaper articles and editorials often provide good starting points for studying case situations. For example, the Arizona Republic's treatment of the alternate-fuels issue or its editorial on the complexity of implementing bilingual education (Jan. 23, 2001 editorial) or funding faith-based charities provide useful background information for a case study. You can locate articles from newspapers' web sites (e.g. www.arizonarepublic.com). Use newspaper archives to locate topics to research. Check the archives of the New York Times or LA Times or Washington Post or other sources. Although newspaper articles are excellent sources, I want you to use multiple methods of data collection in writing your case study. Also, ICMA has assembled a huge number of books with lots of case examples. These include (by title) the following list of volumes. The Effective Local Government Manager, Effective Supervisory Practices, Managing Human Services, Managing Local Government Finances, and Managing Fire Services

- Write an original management case study (5 double spaced pages) of a local, state, national, or global public problem following the guidelines suggested by Laurence Lynn in Teaching and Learning With Cases.
- Write a case teaching note (3 double-spaced pages).
- Write a case analysis (12 double-spaced pages, including academic references).
- Bring to class 2 copies of your case, teaching notes, and case analysis for the instructor.
- Lead a case discussion for 25-30 minutes using Lynn’s case study teaching techniques (Teaching and Learning With Cases, chapters 2-10). I recommend that you give the students some type of summary, flow chart, or list of the major participants in the case study, etc. to make it easier for them to follow and participate. End with an epilogue (rest of the story), if appropriate, and summary of lessons learned (which should relate to your teaching objectives).

OPTION 2: POLICY ANALYSIS

Bardach, A Practical Guide for Policy Analysis, all

Your writing should reflect carefully crafted sections, paragraphs, and sentences.

- The policy analysis paper applies Bardach's eight-step method to a public or nonprofit policy problem. It should not exceed 25 pages. The final paper should be organized in the following sections:
  - Title Page
  - Executive Summary (one page)
  - Policy Problem
  - Assemble Evidence
• Construct Alternatives (specify and explain)
• Select Criteria
• Project Outcomes
• Confront Tradeoffs
• Decision and Recommendations
• Tell Your Story
• Use the APA format, citations, tables, charts, and references.
• Bring two copies of your paper to class for the instructor.
• Bring to class copies of key tables and charts for students.
• In 25-30 minutes, present your paper and answer questions. In your presentation, show ability to speak from notes and use Power Point and the Proxima. Leave at least 5 minutes for Q. and A. It’s a good idea to have transparencies as a backup, in case the computer or Proxima breaks down.
SUMMARY SCHEDULE FOR PAF 509 INTENSIVE

FRIDAY, JUNE 3rd

9:00 AM
Welcome
Introduction of students
Importance of Public Administration
Navigating PAF 509
Discussion of “Romancing the Capstone: The Jewel of Public Value”
Review of Syllabus
Q & E

10:00 AM
Review Case study method (Lynn book)
Hand out of two case studies:
“Incentives for Excellence at the Colorado State Hospital” (for today)
“Ellen Schell and the Dept. of Juvenile Justice” (for Saturday afternoon review)

10:30 AM
Break

10:45AM
Panel Discussion: “Role of Administration and the Changing Face of Public Admin.”
(Several Administrators will participate)

12 Noon
Lunch Break

1:00 PM
Discuss: “Incentives for Excellence at the Colorado State Hospital”

1:45PM
Moore “Creating Public Value” Chapters 1-3 (hand in two copies of a one paragraph reaction to the readings).

2:45PM
Break

3:00PM
Collection (2 copies) and discussion of your MAP plans
4:00PM
Individual choice to work independently or in two person teams for major project
Teams chosen
Tentative preferences given for Case Study or Policy Analysis
Teams meet, instructor meets with those who chose to work on their own

SATURDAY JUNE 4th

9:00AM
Moore, Creating Public Value Chapters 4-5
(Hand in two copies of a one paragraph reaction to some aspect of the readings.

10:00AM
Guest Speakers “Citizen Participation in Public Policy”

11:15AM
Review the Policy Analysis Process (Bardach book – All).

12:00noon
Lunch Break

1:00PM
Moore, Creating Public Value, Chapters 6, 7 & conclusion
(Hand in two copies of a one paragraph reaction to some aspect of the readings).

2:00PM
Individuals/teams work on project development (case study/policy analysis)
Instructor meets with individual and or team

3:30PM
Review for Sunday

SUNDAY, JUNE 5th

9:00AM
DuPree “Leadership is an Art” ALL chapters. Class discussion, be prepared to discuss leadership concepts you have studies and read about in your MPA program. Other subjects: public vs. private sector leadership, and building a leadership model.

10:30AM
Discussion of” Ellen Shall and the Department of Juvenile Justice” case study.
11:15 AM
Break

11:30 AM

Capstone Project Consultation: Individuals and teams need to be prepared for a short meeting with the Instructor regarding their major project. Please have a rough draft of your outline/table of contents. Appointments will be arranged after a count on the number of individual projects and team projects. Except for the times of your appointments with me, you are free to use your time as you choose.

11:30 AM_____________________________
11:45 AM____________________________
12:00 Noon___________________________
12:15 PM____________________________
12:30 PM____________________________
1:00 PM____________________________
1:15 PM____________________________
1:30 PM____________________________
1:45 PM____________________________

FRIDAY, JULY 8th

9:00AM
Panel discussion with guest speakers “The political savvy side of public management”

10:30AM
The Role of Policy Analysis in Public Administration: What is policy? Goals for good policy analysis, how policy analysis gets commissioned, and techniques of policy analysis. In class assignment regarding developing policy.

11:30AM
Break

12 Noon
Summary Review of PAF 509

12:30PM
Work on final presentations
SATURDAY, JULY 9th

Bring in two final copies of your class project for the Instructor. One will be returned and the other will remain with the instructor. The times for the final presentations are listed below. The names of individuals and teams will be assigned Friday, July 8th. (Size of the class will determine if the time schedule is shorter or longer).

9:00
9:30
10:00
10:30  BREAK
10:45
11:15
11:45
12:15  BREAK
12:30
1:00
1:30
2:00  INSTRUCTOR EVALUATION

SUNDAY, JULY 10TH

9:00 AM - 10:30 AM “Rap Up”

GENERAL INFORMATION

The schedule may be modified as the course progresses.
It is critical that you keep up with the readings and participate in class.
Please remember that class attendance is important. Absence does affect your ability to engage in class participation.
All assignments must be turned in on time. Ten (10) points will be deducted for late submissions.
All ASU rules and regulations regarding academic integrity will be followed.
If you have any questions, please do not hesitate to contact me.
This syllabus includes administrative information, answers to a series of questions you might have about the course, its contents, and explanation of the ways in which you will be graded. Additional handouts include a description of project options and grading forms. Contact me immediately if you have questions.

Administrative Information

Room and time: BS 2006, 8:00 a.m. – 5:00 p.m. Saturdays: Jan. 14, 21. Feb. 11. March 4. April 1, 29.

Instructor: Greg Lindsey, Ph.D.
Associate Dean and Duey-Murphy Professor of Rural Land Policy

Office: SPEA: BS 3025, 801 W. Michigan, Indianapolis IN 46202
Office hours: By appointment.

Email: glindsey@iupui.edu
Telephone: (317) 274-2016 SPEA office
(317) 840-0995 Mobile
(317) 297-5342 Home (before 9:30 p.m.)
Fax: (317) 274-5153
Prerequisites and Text

**Prerequisites:** Prerequisites are the core courses: V502, V506, V517, V540, and V560. If you are missing any of these courses, see me immediately. I consider the quantitative courses absolute requirements. In some cases I will allow concurrent enrollment with needed core courses.


**Other readings:** As assigned

*What is a capstone course?*

A capstone course is a culminating experience – a course is designed to provide opportunities for students to integrate knowledge from their core and concentration courses, to gain insight into the meanings of professionalism and professional practice, and to reflect on the norms of a discipline or profession. In the MPA program, V600 has been designed to give students exposure to the policy process through projects and other assignments, with emphases on integrating aspects of research, policy-making, management, science, and technology. Capstone courses often involve projects done for "real" clients. Students learn by practicing skills learned in other courses, through feedback from clients, and from reflection on their experience.

*Why are capstone courses required?*

Capstone courses are required because other courses in the curriculum that focus on particular bodies of knowledge typically do not provide opportunities to integrate knowledge across courses or to reflect on the meaning of professional work. Most of you probably are familiar with Bloom’s taxonomy of learning that classifies questions or tasks in learning by increasing levels of abstraction and complexity (see, for example, [http://www.coun.uvic.ca/learn/program/hndouts/bloom.html](http://www.coun.uvic.ca/learn/program/hndouts/bloom.html), 8/27/05). The levels in Bloom’s taxonomy are:

- Knowledge
- Comprehension
- Application
- Analysis
- Synthesis
- Evaluation

In other courses in the curriculum, you may have been asked to complete tasks at the higher levels of this taxonomy, but only with respect to the knowledge domain of that course and its prerequisites. For example, in a course on public finance, you may have been asked to synthesize information about the revenue producing potential of alternative tax mechanisms with information about equity effects of those same mechanisms in order to identify optimal financing strategies for programs to mitigate environmental externalities. In this course, you will be expected to comprehend, apply, analyze, synthesize, and evaluate information from all relevant courses as well as new information acquired particularly for this course. You will be expected to do so with respect to an unfamiliar topic within a strict time frame while working with team members you may just have met for successful professionals who one day may be your colleagues. Team projects are required because virtually all professional work is undertaken collaboratively with colleagues. No other course in the curriculum has such broad and ambitious objectives.
From another more pragmatic perspective, the capstone is required because it helps meet requirements for program accreditation. The MPA is a professional degree that signifies high levels of understanding and accomplishment with respect to public administration and affairs. Academics and practitioners who help evaluate programs expect that students have an opportunity to integrate knowledge gained in classes and to reflect on the meaning of professional practice.

What competencies will be acquired?

In our most recent revision to the core curriculum of the MPA degree, SPEA faculty established a competency based approach to content of the core courses. By the time you graduate you will have acquired new competencies – both knowledge and behaviors – in five areas: globalization, governance, strategic analysis and action, organizational management, and professionalization. The capstone course provides the opportunity to draw on these competencies: some knowledge and skills will be used directly; other competencies will be used indirectly to interpret the project context. The specific competencies that will be emphasized will depend on the specifics of your project. For example, in the area of globalization, a behavioral competency is “to be able to use the concept of globalization and understanding of intersectoral relationships in making economic, managerial, and political decisions and to consider these issues and the challenges they represent when making policy recommendations.” Our students who have worked with the city on projects to meet the needs of our growing Hispanic population have had honed their knowledge and skills in this area.

Core competencies that will be addressed explicitly in this course include:

- **Governance**
  - to have an understanding of the different forms of governance and how they are utilized in partnerships across sectors (knowledge).

- **Strategic analysis and action**
  - To have an understanding of the key forces that drive change and the flexibility and adaptability that are essential attributes for implementing change (knowledge);
  - To have a basic understanding of statistics and data analysis as well as research design (knowledge);
  - To be able to take on a leadership role and work effectively with constituencies in the public, private, and nonprofit sectors and within established legal and managerial frameworks (behavior);
  - To be able to analyze situations which involve interaction between the public, private, and nonprofit sectors in solving social problems and to work collaboratively with those individuals and institutions in coming up with strategies for financing and managing these social problems (behavior);
  - To identify the factors that motivate the economic and political behavior of various agents in society (and across the sectors) and use this information in planning, strategizing, and decision-making (behavior);
  - To be able to manage complexity and change through the strategic planning process as well as by using managerial and financial incentives to bring about change (behavior);
  - To use models to structure empirical analysis. To be able to apply and use these skills and tools in policy formulation, evaluation, and decision-making. To be able to present and defend positions through oral and written reports using these techniques (behavior);
To be able to use information technology in analyzing public policy and managing organizations (behavior).

**Organizational management**
- To effectively manage and lead organizations, using theory and models of organizational behavior and organizational theory, while taking into consideration the political and institutional context as well as other environmental constraints (behavior);
- To be able to work in a team, to deal effectively with conflict, and to negotiate, delegate, and communicate effectively across constituencies (behavior);
- To be able to manage diversity; to leverage its advantages and reduce its negative effects on workplace processes. To develop workplace diversity strategies, including communication, teamwork and conflict resolution skills, and to increase awareness of, and develop one’s own cultural values and their impact on interpersonal behaviors and organizational practices (behavior);
- To develop one’s own personal leadership style, using strategies that result in effective organizational practice and enhanced citizen engagement (behavior).

**Professionalization.**
- To develop self-awareness about one’s responsibility and service to the public, to have an understanding of the role values play in decision making, and a commitment to ethical practices and professional excellence. (knowledge);
- To manage and lead individuals and organizations with an understanding of the ethical underpinnings and professional standards of public management (behavior);
- To be able to recognize legal and constitutional constraints on policy formation, and be able to identify areas where public policy or administration crosses permissible boundaries (behavior);
- To take responsibility for one’s own work and decisions. To complete one’s work in a professional and ethical manner (behavior).

**What are the practical course objectives?**

The primary, practical objectives of the course are to give you opportunities to use the knowledge and skills you have acquired at SPEA while working as a member of a team on a project for practicing professionals or clients. It is your responsibility to complete each of the following tasks successfully in cooperation with your team members:

1) Review background materials, propose a scope of work for your studies, and present your scope of work to instructor and relevant professionals;

2) Revise the scope of work and complete the tasks included in the final scope of work;

3) Prepare draft and final professional reports; and

4) Present your findings to your client or to other professionals.

5) Reflect on your own performance as well as the performance of your peers and team-mates.

We will discuss in class the timeline for implementation of these steps.
Another important, practical objective is for you to learn to recognize the myriad of ways that public goals, objectives, policies, programs, projects, and initiatives interrelate across both sectors and disciplines. All public policy issues of significance involve the public, private, and nonprofit sectors and are multidisciplinary. To address significant issues, therefore, you must have an understanding of the respective roles of each sector and the ways that tensions among them may be addressed or resolved.

**How will this course be taught?**

This course mostly will be a self-taught course in which you learn by doing (action) and reflection. I will provide guidance and serve as an advisor or coach. I will provide some reading material that may help you with certain tasks. I will discuss with you how to approach the project and answer any questions that you have. I will review and critique your written work and your practice presentations. During our weekly class sessions we will set aside time to discuss team progress.

The course also will involve presentations by professionals who have knowledge and skills relevant to your project. During class sessions with these professionals, you will have opportunities to learn both about the substantive area and to reflect on the demands of professional practice.

In addition to these sessions and to meeting with me, you will need to meet independently to discuss work assignments and to collaborate on tasks. How you assign tasks is up to you; so is how frequently you meet. The critical issue is to begin work on tasks early in the semester so that you have time later in the semester for revising and rewriting your report.

**How are course topics chosen? What criteria are used to select course projects?**

This semester we are working on projects for the Office of the Mayor of the City of Indianapolis. Mayor Bart Peterson has endorsed collaboration with SPEA, and Jane Henegar, Deputy Mayor for Public Policy, and her staff have solicited project ideas from departmental administrators in the executive branch. The administrators and their staff have been authorized to work with our teams for this semester. The specific topics are listed on a separate handout; all concern important issues of public policy.

This semester is the fourth in our new relationship with the Mayor’s office. The first three semesters have gone well, though a few projects have fizzled. If this semester works as well as the previous ones, we hope that our relationship with the Mayor’s Office becomes permanent and a signature element of our MPA degree. We are quite pleased that students have this opportunity to work on high-profile projects of critical importance to the city.

Projects previously undertaken for the Mayor’s Office have included detailed analyses of the potential for retail development on the downtown canal, an inventory of cultural assets in five of the six new cultural districts in Indianapolis, a strategic plan for abatement of lead poisoning, financing strategies for a nonprofit, the Friends of Indianapolis Animal Care and Control, market demand analyses for the City Market, and an assessment of the feasibility of an immigrant welcome center. In previous semesters, projects have been undertaken for both public agencies and nonprofit organizations and have resulted in reports on topics such as alternatives for financing stormwater management programs, patterns of use of urban greenways, plans for collaboration among nonprofit organizations, fundraising options for small foundations, and tax revenues from alternative development patterns.
The most important criterion for project selection has been that a project will provide students an opportunity to use and practice skills to solve important problems and issues. Two other criteria have been that projects involve (1) collection and analysis of large amounts of data, and (2) interpretation and description of the data in a report. These latter two criteria are very important because many new professionals often are assigned tasks involving collection and analysis of data. We want our graduates to have related practical experience.

**How will grades be determined?**

Your grade will be based primarily on the quality of your final report. I also will take into consideration the quality of your presentations to the client and my observations of your individual contributions to the group effort during the semester. In addition, I will take into consideration scores you assign to each other and feedback from clients. A form you will use to evaluate your colleagues will be distributed to you.

My assessment of the quality of your final report will be based primarily on my own professional experience reviewing technical reports, research monographs, and grant proposals for agencies, consulting firms, and journals, as well as my experience in grading papers written by graduate students. I may use grading templates or rubrics to ensure systematic evaluation of particular criteria, but use of these tools will not change the fact that my assessment of your work ultimately will be value-laden and subjective. Subjective assessments are not necessarily arbitrary, however, and they are the primary method of assessment in the professional world. For example, agencies frequently issue requests for proposals for consulting support, and firms bid in response to them. The selection of contractors is a systematic but ultimately subjective process in which cost of services is balanced against other factors such as perceived quality of proposed services. More relevant to our class, professionals routinely make judgments about the quality of reports submitted to satisfy contractual requirements or to support policy initiatives. Aside from obvious errors of fact or objective analysis, these judgments are inherently subjective and involve application of professional norms. This class is designed to simulate aspects of these types of processes.

Here are scenarios that illustrate how I will use professional norms to assign grades:

- **“A” Scenario.** A team defines a research question clearly; submits a well written plan of work for review to the client; meets with the client regularly to ensure that the research remains relevant; executes original data collection (e.g., survey research, key informant interviews) or well defined secondary analyses of existing data; prepares final draft reports for review; revises and rewrites draft reports; and summarizes recommendations clearly in presentations. The team submits a final report that adds value to the client, provides new understanding of a problem or course of action, is well organized, includes no typographical errors, and includes appropriate citations and supporting material in appendixes. In addition, the team makes no errors of fact in its presentation or its report and bases all conclusions on evidence and sound logic. The final report presents a story that is clear, cogent, and persuasive.

- **“B” Scenario.** A team defines an ambitious research agenda; submits a well written plan of work for review to the client; meets with the client regularly to ensure that the research remains relevant; executes original data collection (e.g., survey research, key informant interviews) or well defined secondary analyses of existing data; runs out of time to revise and rewrite draft report; and submits a final report that is generally well written but still a first draft. The draft is imbalanced, for example, with more of the paper devoted to a literature review than to the analyses, more of the paper devoted to analyses than to conclusions and recommendations, or with results critical to conclusions buried in the appendix rather than in the body of the report without any textual reference to their location. Although the research may be excellent, these team members receive grades of B because it is
evident the team ran out of time to polish the document, the final document isn’t accessible or easily interpreted, or the document includes typographical errors or inconsistencies in style. The final report may be serviceable, but the client must go to considerable effort to make use of the findings because the story it tells is not clear or cogent, the logic used to develop recommendations from analyses is not readily apparent, and the conclusions do not reflect the richness of the research and analyses completed during the semester.

- **“B-C” Scenario.** A team struggles to define its research agenda; fails to make the project a priority early in the semester; neglects to interact periodically with client to ensure that their research addresses priorities; undertakes parallel tasks but fails to use common protocols, thus making results incomparable; recognizes limitations of their research and works hard to salvage the report but runs out of time; and submits a final report is clear and readable but really adds nothing of value to the client and does not extend knowledge of issue, problem, or process. Although the team may have put in many hours and worked hard, this team receives grades of B or C because the final product is of little value to the client. Members of teams that submit final reports that are incomplete, have sections still to be written, multiple typographical errors, or include text references that indicate more information is to be added will automatically receive grades of “C.”

- **“C-D” Scenario.** A team struggles to define its research agenda; agrees generally on a topic but bickers over approaches and methods of analysis; fails to meet periodically with the client to confirm direction of analyses; never gels and completes tasks independently; submits drafts of reports to clients independently with instructions to disregard previous submittals by other team members; submits a final report that includes questionable interpretations of data, different interpretations of comparable data in parallel sections, several different writing styles, typographical errors, and no references to materials in appendixes. Although individual team members may have worked very hard and put in many hours, the team receives grades of C or D because the final product does not meet professional standards.

Note that in these scenarios, grades are based on the quality of the final report, not on effort by individuals. I have had students complain in the past that they have “worked too hard to receive only a B.” I expect hard work, but the hard work is your input, not the collective output, and the grade is for your collective output judged according to professional norms.

If your team submits a report that I judge to be in the B-C or C-D categories, I may decline to forward it to the client. The reasons for this decision would be that I have concluded the report provides little added value to the client or that the report fails to meet professional standards. In the spring of 2004, for example, I decided not to forward one of eight reports to the Mayor’s office because the report did not meet minimum professional standards for quality, the five members of the team failed to produce information and analyses that would inform decision-makers, and the quality of the report would reflect negatively on the reputation of SPEA and IUPUI.

It is common that individual grades will vary among team members. In my years of teaching this course, I have found that students are not hesitant to identify team-mates who have failed to show initiative or complete assignments. The most common problem within teams that leads to significant variation in grades is the failure by individuals to do their fair share of the work. In one semester, for example, members of three different teams were unanimous in their assessments that a particular individual on each team was a free-rider. In one semester, three individuals (from a class of 33) received grades of C- or lower and were required to repeat the course. In another semester, no student received a grade lower than B-. I urge you to be clear about tasks and assignments and to complete tasks assigned to you on time. Sometimes, individuals
who have been pegged as free-riders have complained that they didn’t realize their team members felt they weren’t doing their fair share of the work. This is not an excuse that will mitigate adverse effects on your grade. As a professional, it is your individual responsibility to make sure that you fulfill your responsibilities.

Some technical matters and administrative issues …

It is important to mention several technical matters and general administrative issues particular to this class:

- There is one book for this course. I will supplement assignments from the book with copies of additional reading material.

- Some of the professionally-oriented technical material we cover in class may be redundant for some of you. My experience, however, is that most students have not had all the material and that most students appreciate the short refreshers. The objectives of the didactic sessions in class are to make sure that you have methodological guidance and examples of professional norms to assist you in planning and conducting your projects.

- You will likely incur some expenses in the conduct of your project. Given that the cost for the one book is minimal, I think it is reasonable to ask you to incur up to $50 of expenses related to your project. If the research your team proposes will cost more than this, then see me and we will discuss with the city some ways to cover the marginal costs. The city will try to assist with costs of copying and other matters.

- You must retain all files, data, and analyses that you complete during the course of the semester and submit original documentation of results along with your report. For example, in the past, I had one team that discarded original copies of surveys after they were coded. This choice is unacceptable, inconsistent with professional norms, and places you in the position of having your work rejected. If you cannot provide supporting documentation or substantiation of your research, you will fail the course. Note that failure to retain documentation changes the burden of proof from me to you to support the authenticity and validity of your findings.

- Your project report will be distributed publicly and maintained electronically in SPEA files. By entering into this course, you grant permission and provide others the right to read your final material. You will need to include in your report instructions on how to cite or reference it. Here is an example citation for one team’s project:

  Lawrence, B., Minger, T., Sedaca, B., Simmons, T., & Zanin, G. (2004). Canal walk market study. Completed for the Indianapolis Department of Metropolitan Development, Indianapolis, IN. V600 Capstone Project 2004. School of Public and Environmental Affairs, Indiana University - Purdue University Indianapolis. (Available from Margaret Lawrence Banning, Division of Administrative Services, mbannin@indygov.org)

- I will adhere strictly to the IUPUI Code of Student Rights, Responsibilities, and Conduct and will enforce rules and procedures concerning academic misconduct. If you are not familiar with activities considered to be academic misconduct, please review the Code:
Some other items to think about ...

A capstone course is a great opportunity for you. For some of you, this may be the first time you are in a position to contribute to the mission of an agency or organization. You can provide a great service by doing your work well. Don't underestimate the difference you can make: you can help solve significant problems. For others of you who already have professional experience, this is an opportunity to hone your cognitive and professional skills. Take advantage of it!

The capstone can make a significant difference in your career. The final product will be part of your portfolio of work you completed as a graduate student. Employers want to see evidence of your skills. In this course you get to work directly with professionals and to prepare a product that will be used. When you're done, you should be proud to present your report to people as an example of your skills.

You should recognize at the outset, however, that the capstone is difficult. It is difficult for the same reasons it is an opportunity, namely, that you get to do work that matters to someone besides yourself and your teachers. When you take this course you are putting yourself on the line in ways that differ from those in a traditional course. You are participating in professional world where you will be known for your work. If you do well, you will establish credibility that will serve as a firm foundation for your professional career. If you do poorly, you will lose credibility, and credibility is very difficult to re-establish.

With that said, here's some advice based on the experience of students who have gone before you:

- Don't delay. Time squandered early in the semester is difficult to make up.

- Be as specific as possible about your scope of work early on, and stick to it. Changes will result in delays. You may have good ideas about tasks that could be added to make the project better. You must be careful about adding items to your scope of work. You have a limited amount of time to complete the project.

- Decide early who will be responsible for completion of each task, including the presentation and the preparation of interim and final reports. Pay careful attention to tasks such as proofreading your report, especially when a team member will be responsible for evaluating or interpreting another's work.

- Professionals in the community may become confused if contacted by different people. You should designate one team member to be the principal liaison with your client and others with whom you need to converse. You also should designate a back-up liaison.

- Allow sufficient time for preparation and production of the final report. Production always takes more time than anticipated. Determine a style and format for your report early in the semester and adhere to your guidelines. This will minimize the need for editing and simplify production.

- Check about production capacity for items such as graphics and maps early in the semester. For example, decisions about issues such as whether to use color maps should be based on the needs of the client.
• Decide how you will ensure quality control for all calculations. All calculations should be checked by someone other than the person who first made them.

• Speak openly, honestly, and often with your teammates. If you have suggestions to improve their work, let them know. If you think their efforts are insufficient, tell them. Do not withhold criticisms and let bad feelings fester, only to explode during production of the final report or during post-project evaluation. At the same time, make sure your comments are constructive. Most students at some point in time struggle with a course. Have patience.

• From time to time I have had students come to see me about “problem” team-mates. My general course of action is to listen, suggest possible courses of action to resolve problems, encourage the individual to work it out on his or her own, but offer to intervene. I do not approach the problem team-mate initially because these conversations are in confidence. If the person asks me to intervene, then I do so in a group setting.

• My door is open. Come see me if you have questions or problems.
SPEA Policies 2005-2006
Addendum to Syllabus

Academic Misconduct
All faculty have the responsibility of fostering the “intellectual honesty as well as the intellectual development of students” and part of this responsibility means that faculty must investigate cases of potential academic misconduct promptly and thoroughly. The faculty also has the responsibility of taking appropriate action when academic misconduct occurs.

The penalties for academic misconduct include but are not limited to lowering a grade on an assignment, lowering a course grade, or failing a student for a course. Significant violations of the Code can result in your expulsion from the University. If you have any questions about what constitutes academic misconduct for a course you are taking, be sure to ask the instructor for an explanation.

SPEA faculty take their responsibilities seriously and do not tolerate cheating, plagiarism, or any other form of academic misconduct. If you have not done so, you should read the IUPUI Code of Student Rights, Responsibilities, and Conduct, which can be accessed at http://www.life.iupui.edu/help/code.asp so you will be sure to understand what these terms mean and what penalties can be issued for academic misconduct.

When a student is suspected of academic misconduct, the instructor will have an informal conference with the student in a timely fashion and provide the student with an opportunity to respond to the allegations. If the instructor believes that academic misconduct has occurred, he/she will initiate the academic misconduct process, which includes the possibility of a hearing if the student disagrees with the allegations.

The IUPUI Code of Student Rights, Responsibilities, and Conduct defines six areas of academic misconduct: cheating, fabrication, plagiarism, interference, violation of course rules, and facilitating academic misconduct. The prohibited activities and actions include the following:

1. **Cheating.** A student must not use or attempt to use unauthorized assistance, materials, information, or study aids in any academic exercise, including, but not limited to, the following:
   a. A student must not use external assistance on any "in-class" or "take-home" examination, unless the instructor specifically has authorized external assistance. This prohibition includes, but is not limited to, the use of tutors, books, notes, and calculators.
   b. A student must not use another person as a substitute in the taking of an examination or quiz.
   c. A student must not steal examinations or other course materials.
   d. A student must not allow others to conduct research or to prepare work for him or her without advance authorization from the instructor to whom the work is being submitted. Under this prohibition, a student must not make any unauthorized use of materials obtained from commercial term paper companies or from files of papers prepared by other persons.
   e. A student must not collaborate with other persons on a particular project and submit a copy of a written report which is represented explicitly or implicitly as the student's individual work.
   f. A student must not use any unauthorized assistance in a laboratory, at a computer terminal, or on field work.
   g. A student must not submit substantial portions of the same academic work for credit or honors more than once without permission of the instructor to whom the work is being submitted.
   h. A student must not alter a grade or score in any way.

2. **Fabrication.** A student must not falsify or invent any information or data in an academic exercise including, but not limited to, records or reports, laboratory results, and citations to the sources of information.

3. **Plagiarism.** A student must not adopt or reproduce ideas, words, or statements of another person without appropriate acknowledgment. A student must give credit to the originality of others and acknowledge an indebtedness whenever he or she does any of the following:
   a. Quotes another person's actual words, either oral or written;
b. Paraphrases another person's words, either oral or written;
c. Uses another person's idea, opinion, or theory; or
d. Borrows facts, statistics, or other illustrative material, unless the information is common knowledge.

The School of Education in Bloomington has developed a tutorial that will help you understand plagiarism— you can access the tutorial by linking to http://www.indiana.edu/~istd/.

4. Interference.
   a. A student must not steal, change, destroy, or impede another student's work. Impeding another student's work includes, but is not limited to, the theft, defacement, or mutilation of resources so as to deprive others of the information they contain.
   b. A student must not give or offer a bribe, promise favors, or make threats with the intention of affecting a grade or the evaluation of academic performance.

5. Violation of Course Rules. A student must not violate the course rules contained in a course syllabus or other information provided to the student.

6. Facilitating Academic Misconduct. A student must not intentionally or knowingly help or attempt to help another student to commit an act of academic misconduct.

Civility
Civility is important in an academic community to ensure that all parties—students, staff, and faculty—are working in an environment that fosters achievement of the individual’s and community’s goals and objectives. Civility requires all parties to demonstrate personal integrity and conduct themselves in a manner that shows respect, courtesy and tolerance to others. Examples of discourteous behaviors during class include reading the newspaper, listening to headphones, talking or laughing with others, chronically arriving late, and so forth. These behaviors are distracting to the instructor and classmates, and SPEA faculty will address these problems as they arise. Maintaining and fostering civility inside and outside the classroom is especially important to SPEA, which is a professional school.

Pursuant to the Indiana University Student Code of Conduct, disorderly conduct which interferes with teaching, research, administration, or other university or university-authorized activity will not be tolerated and will be immediately reported to the Office of The Dean of Students for appropriate disposition which may result in disciplinary action including possible suspension and/or expulsion from the university.

Communication between Faculty and Students
In order to verify the identity of all parties involved, effective September 1, 2004, all email communication from current SPEA students to SPEA staff must originate from an Indiana University email account. For email communication with SPEA faculty, current SPEA students should refer to course syllabi for instructors’ preferences (Oncourse, Webmail, etc.). This policy applies to current students only. Instructions for forwarding your IUPUI email to another account can be found at http://support.uits.iu.edu/scripts/ose.cgi?http://kb.indiana.edu/data/beoj.ose.help?osecat=email

Course Withdrawals
Students who stop attending class without properly withdrawing from the class may receive a grade of F. It is important to withdraw from a course within specified timeframes (see chart below). Note that withdrawals after Week 12 of a regular session or Week 4 of a summer session are rarely granted. Poor performance in a course is not grounds for a late withdrawal.

No withdrawal forms will be processed in the Office of the Registrar after the last day of classes. Any requests for a late withdrawal after the last day of classes must go through the grade appeal process, but each student should remember that in accordance with campus policy, SPEA does not permit a student to withdraw from a course if he/she has completed the course requirements. Grade replacement should be used in this case. See the Office of the Registrar’s website at http://registrar.iupui.edu/withdraw.html for more information. To withdraw, obtain a
withdrawal slip (DROP/ADD Form) from the SPEA Student Services window. Instructions for completing it are given on the form.

<table>
<thead>
<tr>
<th>Withdrawal Deadlines</th>
</tr>
</thead>
<tbody>
<tr>
<td>Course deleted from record, no grade assigned, 100% refund (Advisor signature <strong>IS NOT</strong> required)</td>
</tr>
</tbody>
</table>
| Withdrawal with automatic **grade of W** (Advisor signature **IS** required) | Week 2 – Week 7 (regular session)  
Week 2 – Week 3 (summer session) |
| Withdrawal with **grade of W or F** (Advisor and instructor signatures **ARE** required) | Week 8 – Week 12 (regular session)  
Week 3 – Week 4 (summer session) |

**Incompletes**
A grade of incomplete (I) indicates that a ‘substantial portion’ of the work in a course has been satisfactorily but not entirely completed by the student as of the end of the semester. The incomplete can be given to a student facing a hardship such that such that it would be unjust to hold the student to the established time limits for completing the work. To be eligible for the incomplete in a SPEA course, the student’s work must be of passing quality, and the student must have completed 75% of the course requirements. **Poor performance in a course is not grounds for an incomplete.** See the Office of the Registrar’s website at [http://registrar.iupui.edu/incomp.html](http://registrar.iupui.edu/incomp.html) for more information. Incompletes must be removed within a time period not to exceed one year after the semester in which the student was enrolled in the course. The incomplete will revert to an ‘F’ if the work is not completed within the allotted timeframe established by the instructor.

**Grade Changes**
Under certain circumstances, students can seek grade changes for previously taken courses if they believe that a grade has been calculated or assigned incorrectly. A student who is seeking a grade change must first contact the instructor and ask for the grade change. In the event the instructor does not change the grade, the student can file a Change of Grade Petition with the Registrar’s Office. The petition is then sent to SPEA for its consideration. **The petition must be filed within 1 year of the date when the student was enrolled in the course.** In cases of extenuating circumstances, SPEA may consider petitions filed after this date, but in no case will it consider petitions filed 5 years or more after the date the course is taken. SPEA will review the request and make a final decision. The Change of Grade petition form is located at the Office of the Registrar’s website at [http://registrar.iupui.edu/grdfrm.html](http://registrar.iupui.edu/grdfrm.html).

**Students Called to Active Duty**
SPEA encourages any student who is in the Indiana Military Reserves and is called to active duty to finish his/her coursework if at all possible. Students who cannot complete their courses have the option of withdrawing with 100% fee refund, but this request must be made within one week of being called to active duty. Students who are called to active duty may qualify for an incomplete (provided that all the above criteria have been met). For further information, please see the Office of the Registrar’s website at [http://registrar.iupui.edu/activeduty.html](http://registrar.iupui.edu/activeduty.html).

**Final Exam Schedule**
If a final exam is given, it must be held on the day and time set in the final exam schedule. If an instructor has changed the final exam date, the student should first consult with the instructor. Students who have more than three final exams in one day or insufficient time to get from one exam to another should consult with their instructors to resolve these conflicts. Exams may not be given in the week before the final exam week. If a student is not able to resolve a final exam problem with the instructor, the student may report the problem to the Director of Policies, Procedures, and Assessment. See the Office of the Registrar’s website at [http://registrar.iupui.edu/accal.html](http://registrar.iupui.edu/accal.html) for the final exam week schedule.
PPD 546: The Practice of Public Administration
Capstone Course
Spring, 2008
University of Southern California
School of Policy, Planning and Development

Module I: Thursday, January 24 through Sunday, January 27, 2008
Module II: Thursday, February 21 through Sunday, February 24, 2008
Location: USC State Capital Center, 1800 I Street, Sacramento, CA 95811
Class hours: 9 am to 5 pm
Instructor: Elisabeth Kersten, MA in Public Administration
Clinical professor, USC Capital Center
Telephone: 916-442-6911, ex. 19
Office: 1800 I Street Room 105, Sacramento, CA 95811
Email: kersten@usc.edu
Reading: Available at the USC Bookstore and online. Some additional cases and readings will be handed out in class or accessed online during class.

Course Description

This course is a final semester course or the last requirement for students in the Master of Public Administration program and related fields of study at USC. The curriculum integrates all the aspects of your earlier coursework, but it’s a not a review course. It will be both a seminar and a learning laboratory where students will encounter new material, cases, simulations, and engage in small group discussions and team problem-solving exercises very much like the work environment of practicing public administrators. Leadership and management challenges do not present themselves as linear, discrete issues, but are often unexpected, novel, complex and have many dimensions that must be dealt with simultaneously. The class format will simulate this environment as much as possible.

This course will prepare you to make a difference in the public or nonprofit sector by providing you the foundation and framework for understanding the policy, political, organizational, and operational challenges in public administration. It will equip you with the tools and techniques you need to address and resolve these challenges. Our focus is helping you become an effective public manager and an insightful and inspiring leader. This course will also give you ample opportunity to develop and strengthen your analytical ability through our discussion of real-world cases, experience decision-making on important public issues, understand and see what must be done to achieve goals and actualize public value, improve your presentation and writing skills and prepare you for your future career goals. If you have a laptop, please feel free to bring it to class since some of the written assignments and simulations will be done in class and online.
Course Themes and Objectives

The course covers a wide range of topics, issues and skills that you will utilize as an effective public manager organized around these four themes:

- Defining and creating strategy to create public value;
- Communicating with the authorizing environment and the public;
- Implementing and executing the strategy;
- Planning your personal career goals and how to achieve them.

In more detail, here are the specific learning objectives for the course:

1. Experience and understand the interactive, dynamic dimension of public administration through in class simulations and exercises in real time on real issues.
2. Develop a rich and deep understanding of the “public good,” “public service” and how to translate your skills into a successful and effective career in public or nonprofit management as a manager and leader.
3. Understand all the dimensions and responsibilities of a public manager from budgeting and communications to problem-solving and policy advising and grasp the essentials for success.
4. Understand the impact and role of politics, personalities, and inter-agency relations on effectiveness.
5. Understand the constitutional, legal and regulatory frameworks that define the authority and legitimacy of public administration and apply these frameworks to various organizational settings and challenges.
6. Engage and resolve ethical dilemmas that face public administrators in a politically-charged and volatile environment.
7. Develop new skills to assess and improve organizational structure and operations, staff productivity and retention, team leadership and interagency collaborative teams.
8. Learn how to develop effective performance and accountability measures that produce desired results and learn to determine what can be measured quantitatively and qualitatively and how to interpret and communicate the results.
9. Learn effective strategies to engage the media, public and stakeholders in the decisions being made so that public integrity and legitimacy are enhanced.
10. Strengthen your analytical, writing and presentation skills.
11. Learn how to stimulate creativity and innovation in your organization and how to commission and utilize research to better serve the public good.
Required Readings

Two key books, one a classic and one contemporary form the core reading for this class and in addition we will be using a wide variety of case studies and articles on issues from health, law enforcement, housing and economic development and community services. Mark Moore’s “Creating Public Value” draws on the literature and theory from a wide variety of disciplines including public administration, political science, business, economics, and other fields. In addition to theory the book incorporates the experience of highly respected practitioners who have spent time with faculty at Harvard’s Kennedy School of Government. Joan Magretta’s “What Management Is” can be quickly read and offers contemporary, private sector examples of what we will be studying and provides a useful overlay and contrast to the Moore book.

Also, we have assigned a number of articles from Public Administration Review which can be read online and from key publications such as National Journal and Governing magazine which are important publications for public managers. We will be discussing these articles in class and in small groups; they also form valuable background material and analytical perspective to help you in your writing assignments.

Mark Moore, *Creating Public Value: Strategic Management in Government*

  Chapters 1-7

Joan Magretta, *What Management Is*


Case Study: The Job Corps 9-375-152 (November 1, 1974)

  Harvard Business School online

Case Study: Elizabeth Best (A) 9-675-123 Revised April 9, 2002

  Harvard Business School online

Articles:


Public Administration Review (PAR) Articles (available online):


Jim Collins, “Good to Great Monogram for Social Agencies”

ISBN-13-978-1-58008-867-1 Chapters 13 and 14

Recommended Reading: Not Required

ISBN 0-7879-0811-8

Jim Collins, Good to Great Collins, 2001
ISBN 0-06-662099-6

Peter F. Drucker The Essential Drucker Collins Business, 2005
ISBN-10: 0-06-093574-X paperback

Patrick Lencioni *Silos, Politics and Turf Wars* Josey-Bass 2006

Patrick Lencioni *The Five Dysfunctions of a Team* Josey-Bass 2002
ISBN 0-7879-6075-6


**Written Assignments: Course Requirements**

**Getting Started: two brief assignments to get acquainted:**
1. One biographical essay to be emailed to me at Kersten@usc.edu or turned in on the first day of class. Your essay need not exceed three pages double-spaced and should answer two key questions:
   - what has been your career path that brought you to the USC MPA program and describe your current occupation and responsibilities;
   - what are the areas of your greatest interest and passion and where would you like to grow and learn more?
2. Please email me before the first day of class the name of a book not on our reading list that you found significant in your life, professionally or personally. Give the name, author of the book and a paragraph or two of why it was significant. We would like to share this “suggested reading list” from each student with the rest of the class. (Please feel free to throw in a good movie title, too, if you have seen something that you highly recommend to your colleagues.)

**Written Assignments: Required**

1. At the end of day two (Friday, January 25, 2008) submit by email or hand in a written memo of no more than three pages double-spaced about an administrative, organizational, personnel or resource challenge that you have personally faced in your professional and/or academic career and how the readings for this course have been of value in sorting out the issues, options, and possible action steps.
2. On class days there will be occasional brief writing assignments (2-3 pages) to capture the essence of a concept or case covered in class discussion; some of these writing assignments will be done individually or with a team. Two of these written assignments will be for credit.
3. Mid-term Exam: A two-hour midterm will be given on the first day of the second module, (Thursday, February 21, 2008) This in-class essay exam will give you an opportunity to apply the reading to a case study and analyze options for actions; we will have ample opportunities in the first module to go over this and discuss how best to prepare for the midterm.
4. Also at the beginning of module two prepare a 2-3 page outline or a first draft of a short final paper of 15 pages double-spaced. This paper will be turned in no later than March 17, 2008 by email or mail. The paper must be originally prepared by you for this course and it must be based in significant measure on the sources assigned for this class and/or the handouts and case studies used in this course. It may also draw on your learning from other courses and from your professional work. The subject should center on professional practice of public administration. You can select a topic from among the following choices:
   a. A personal assessment and strategic plan for your future professional development and practice and/or a job search for prospective employment.
   b. An analysis of public administration challenges in 2008 and beyond in CA (or your home state) applying assigned or recommended reading for this course and additional resources.
   c. An analysis of practices of public administration in a selected policy area covered in this course and/or related to your professional career, including an assessment of how public administrators can create public value using strategy, skills and tools taught in this course.
   
   We will discuss expectations for this paper during module two of the course.

Grading

1. Memo on Organizational Challenge                              10%
2. Two in-class writing assignments (10% each)               20%
3. Midterm                                                                  20%
4. Final Paper                   40%
5. Class participation       10%

Policy Regarding Disability Services and Programs

An student requesting academic accommodations based on a disability is required to register with Disability Services and Programs (DSP) each semester. A letter of verifications for approved accommodations can be obtained from DSP. Please be sure that letter is delivered to me as early in the semester as possible. DSP is located in STU 301 and is open 8:30 am to 5 pm Monday-Friday. The phone number for DSP is 213-740-0776.

Biography

This biography is based on the announcement from Dean Jack Knott, School of Policy, Planning and Development, issued on September 6, 2007 introducing Elisabeth Kersten to SPPD Faculty, Staff and Students:

As Dean, I am pleased to announce the appointment of Elisabeth Kersten as a clinical professor at SPPD and distinguished practitioner in residence based in Sacramento. In this half-time role, she will teach and develop policy outreach, connecting SPPD to the
legislature and state government. Elisabeth brings strong policy analysis, fiscal analysis, policy research, and teaching skills to our school.

Her teaching will include two MPA courses in Sacramento: Professional Practices in Public Administration (PPD 546) and Political Leadership in Public Organizations (PPD 657). She will also help to develop and implement SPPD's strategy for policy outreach to state government and build collaborations between SPPD faculty and state policymakers that will improve SPPD's contribution to policy dialogue in the policy process.

Elisabeth served as director of the Senate Office of Research for 20 years, a bipartisan think tank developing policy and preparing studies for the 40 members of the California State Senate. As director of the Senate Office of Research, Elisabeth had direct and personal involvement in framing, conceptualizing, editing and approving all research reports prepared by consultants who worked in SOR, supervising a staff of up to 35 professionals. (For a list of publications, see www.sen.ca.gov/sor)

During her twenty-year tenure as director from 1983 to 2004, the office published seminal reports on topics in nearly all policy areas, including health, the environment, housing, education, and infrastructure.

In addition, the office assists the Senate Rules committee in background investigations into gubernatorial appointees subject to Senate confirmation. She served under three Pro-Tems and prior to joining the Senate Office of Research she served as Deputy Chief of Staff to Assembly Speaker Willie L. Brown, Jr., consultant to the fiscal committees in the Senate and Assembly and deputy director in two executive agencies, the Department of Consumer Affairs and the Department of Employment Development.

Elisabeth's experience also includes projects in several policy areas such as environmental protection, immigration, and health care that span a wide range of countries, including Berlin, Germany, Johannesburg, South Africa, Hong Kong, China, Stockholm, Sweden, Bangkok, Thailand, and Santiago, Chile.

Elisabeth has been an instructor in several USC leadership programs, including the National Conference of State Legislatures (NCSL), Legislative Staff Management Institute, The Sierra Health Foundation, and the California Institute for Mental Health.

She has also served as an adjunct advisor at the University of California at Davis in the Department of Community Development and as an instructor at California State University at Sacramento in the Department of Organizational Behavior and Environment within the School of Business Administration.

Elisabeth has extensive experience in political management as a founder of the Sacramento Women's Campaign Fund, an action committee to assist in the election of women to state, local and federal office and the founder of Women in Politics, a membership organization for women working in the state Capitol who wanted to bring
more awareness to state officials about issues of concern to women. In addition, Elisabeth has been a candidate for county supervisor as well as an advisor and volunteer with numerous state and local campaigns.

She recently retired from the Senate Office of Research and currently volunteers on a number of nonprofit boards in the areas of civic education, youth development and international environmental policy, including formerly the chair of the Policy and Public Administration Advisory Committee at California State University Sacramento and a the USC State Capital Center SPPD Advisory Committee.

She received undergraduate degrees in English and Economics and a Master's degree in Public Administration from the University of California at Berkeley.

In 2007, she was recognized as the Alumna of the Year by the Goldman School of Public Policy at the University of California at Berkeley. Elisabeth was also named the 2004 Outstanding Public Administrator by the American Society for Public Administration (ASPA).

Tentative Class Schedule

**Module 1: January 24-27, 2008**

**Day 1: Thursday, January 24**

**Foundations for the Practice of Public Administration in Today’s Environment**

**AM**

**Systems Thinking, the Learning Organization, and a Public Administrator’s Focus on Getting Results**

*Turn in or email by 9 am the first day of class the two get-acquainted assignments: your biography and your reading recommendation.*

Self introductions  Small group exercise: Discussion and report out on course expectations

Discussion of the attributes and strengths of effective public managers including the role of imagination, creativity, tenacity, skills, and techniques in serving the public good

Is the field of public administration in a crisis of competence and what factors have contributed to public dismay with the work of the public sector?

Reading:

Katherine Barrett and Richard Greene article on “Grading the States,” Governing
vol. 18, no. 5, (February, 2005) pp. 24-42.

PM
Dynamic, Responsive, Multi-dimensional, Multi-task Expectations of Public
Administrators working in Volatile Environments

CASE DISCUSSIONS: Jobs Corps and Elizabeth Best (A)  Harvard Business School
Contrasting the concepts of creating value in the private sector with defining and
creating public value in government and the nonprofit sectors
Table Top Exercise on Defining Value

Reading:
Mark Moore, “Creating Public Value,” Chapters 1, 2
Joan Magretta, “What is Management?” Introduction and Chapter 1

Day 2: Friday, January 25, 2008
Critical Importance of Design and Strategy in Managing Your Enterprise: Getting All Aspects of Strategic Triangle into Alignment

Turn in your first written assignment for credit: up to a three-page memo double-spaced outlining an organizational, administrative, personnel or resource challenge you have experienced in your professional or academic career.

AM
Designing strategic model for getting results and the corollary to business enterprise:
What’s your story?

Simulation exercise in creating and writing the story line

Reading: Magretta, Chapter 2, 3

Understanding and applying Moore’s model of the Strategic Triangle:

- mission and purpose,
• support and legitimacy,
• organization and operations

CASES: US EPA and Dept of Youth Services in Moore, Chapter 3

PM
Understanding the Political Context and Interacting with the Authorizing Environment

Importance of the Rule of Law and Constitutional Constraints in defining boundaries and opportunities for public managers. What are the limits of administrative discretion in a constitutional, representative democracy?
How do public administrators lead and manage boldly and with proper discretion and restraint?
How is reasonableness defined and interpreted in the legal and political context?

Class Exercise: Political mapping of Job Corps and US EPA environments

Individual exercise: prepare a political map of your personal position within your organization

Skills, tools and techniques for building support and legitimacy inside and outside of the organization with elected and appointed leaders, governing boards and other decision-makers

Cases and Reading: Department of Community Affairs in Moore, Chapters 4 and 5


Day 3: Saturday, January 26, 2008
Identifying Opportunities for Improvement and Proposing Change

AM

Innovation, Policy Development, Analysis and Advocacy

Group exercise on brainstorming policy alternatives and an advocacy strategy

Analyzing what empirical evidence will be necessary to make the case
Role playing at a legislative committee hearing: understanding policy-making from the legislative perspective

Reporting back to your boss on what happened in the political arena with the director’s prized initiative: understanding policy process from the perspective of an agency

Revisiting the Job Corps Case Study.
Know your enemy or your critics: Understanding the role and influence of budget control and auditing agencies


PM

Politics and Policy: How the campaign mentality and political divisiveness impact and influence the business of governing

Review and Discussion of the upcoming 2008 election with particular focus on pending initiatives on the Feb, June and November Ballots and impact on the policy and political landscapes using information from the Secretary of State website. www.ss.ca.gov and the CA Voter Foundation website at www.cvf.org.

Role playing: Presentations for and against selected initiatives

National Election impacts on California: Conversation about CA and National Primaries February 5

Day 4: Sunday, January 27, 2008

Telling Your Story: Communication Strategies Outside and Inside

AM

Defining, measuring and documenting performance: What results are measurable, not measurable and how to present the evidence of what is known and not known

Magretta, Chapter 5, 6

Working with the print, video and digital media
Public relations and public education campaigns

Case: Proposition 10 Early Childhood Commission and its public education actions that affected preschool initiative

Requirements and constraints of laws governing public access to records, transparency, privacy, public relations and public education campaigns

PM
Civic Engagement: Getting the Public Involved in the Decision-Making Process by Listening, Polling, Convening

Impact of polls and focus groups on leadership and decision-making in state and local government. What are the underlying values of the public that affect and impact these poll numbers? Is it just a horse race or is something more a stake?

Read most recent PPIC poll of Californian’s opinions at www.ppic.org

Case Discussions:

Blueprint Project and SACOG efforts to engage public in conversation about traffic congestion in Sacramento Region
Health Foundations’ Efforts to Engage Public in Health Reform: California Speaks
USC Civic Engagement Initiative: Looking at Neighborhood Councils.

Module II: February 21-24, 2008

Day 1: February 21, 2008
Delivering Public Value: Tools and Techniques for Getting the Job Done

AM
Midterm Exam: No more than two hours.
Turn in outline and/or first draft of final paper

Defining mission, purpose and objectives clearly and concisely

Team building both within the organization and across organizational boundaries, knowing how to foster collegiality in a competitive environment
PM

Concepts and Models from Jim Collins’ Good to Great to Government and Nonprofit Sectors


- Defining Great—Calibrating success without business metrics
- Level 5 Leadership: getting things done within a diffuse power structure
- First Who—getting the right people on the bus within social sector constraints
- Hedgehog concept—rethinking the economic engine without the profit motive
- Turning the flywheel—building momentum by building the brand

Exercise: Applying these concepts to our work environments and the nonprofit sector.

Case: Bread for the World (handout in class)

Day 2: February 22, 2004

AM

Implementing strategy and redesigning the delivery system

Analyzing the most effective ways to get the job done through regulations, grants, contracts, networks; establishing accountability for funds invested: monitoring, evaluating and comparing outcomes of vendors and providers

Reading:

Cases of Boston Housing and Houston Police Department in Moore, Chapters 6 and 7
Magretta, Chapter 9

Case discussions (handouts in class and websites:  www.dmh.ca.gov and www.arb.ca.gov

- Department of Mental Health’s efforts to redesign and allocate new funds to local mental health system under Proposition 63
- Regulations of the Air Resources Board under AB 32 to reduce emissions contributing to global climate change

PM

Coping with Change, Crises, and the Future

Worst Case Scenario: What to do when a crisis hits
Does Public Administration Theory hold up when the world seems to be falling apart?
Connecting theory and practice in turbulent, crisis situations

Case discussions: SF Bay Oil Spill November, 2007 and California's Energy Crisis

Best Case Scenario: Anticipation, Foresight and Looking into the Future

Knowing the resources available to scan for emerging trends and how to cope with them

Connecting to research community, public and private think tanks and philanthropy with longer time horizons


Meta Class Exercise to inventory what these groups are working on and what it tells us about emerging issues affecting our state

Day 3 February 23, 2008
AM and PM
Maintaining Credibility, Integrity and Humility in an Ego-Crazed World and Developing Personal and Organizational Resiliency and Determination to Make a Difference, in spite of the odds

Speaking truth to power and keeping your reputation intact

Role of character in public life—who you are and how you conduct yourself matters

Corruption exists and how it gets uncovered: The Role of the US Attorney, FPPC, and the regulators and professional associations who define incompatible activities for public administrators

Identification and discussion of exemplars who exceed our expectations and the scoundrels who embarrass us all

Group exercise to Inventory personal exemplars: who do you admire and why?

Revisit earlier readings from Public Administration Review
Day 4: February 24, 2008
Applying Strategic Thinking and Foresight to Planning Your Career

AM and PM
Discussion of Final Paper due March 17, 2008

Goal setting and strength analysis

Friends and Foes from Chris Matthew's book “Life’s a Campaign”

Building your career portfolio

Areas for future growth and learning

Coaching and Mentoring Exercise with Triads

Developing and Implementing an Action Plan

Reading: What Color is Your Parachute, Chapter 13, 14
One of the most fundamental questions within the field of program evaluation is “Do social programs work?” This course is designed to provide students with the tools to answer this question as both *users* and *producers* of evaluation research.

Program evaluation serves many important functions. It supplies information to policymakers and program administrators who face decisions about which programs to fund, scale back, expand, modify, or eliminate. Evaluation is an accountability tool: when individuals or agencies decide to finance a program, they have a right to ask what their funds bought. Evaluation is also a vehicle for improving public services. By finding out what efforts succeed and fail—and how new ideas and approaches fare against existing practices—policymakers and administrators can improve policy and program designs, devote resources to programs that work and fix programs that are inefficient or marginally effective.

The course involves students in consulting teams, conducting evaluation research for actual non-profit and government agency clients. The combination of real-world experience with course readings, lectures and discussions aims to educate course participants in both the theoretical and practical realms of program evaluation. Throughout the course, just as I will share from my own experience as an evaluator of welfare and employment policies and programs, I encourage students to relate the general material to their own experience and specific policy interests.

**Prerequisites**
The prerequisite for this course is PAF 501 (or a similar introductory research methods course, or instructor permission). Having completed PAF 502 Research Methods II and PAF 505 Public Policy Analysis, or their equivalents, would be useful as well.

**Requirements**
Class attendance & participation and in-class presentations: Attending and participating in class are important elements of this course. Generally, quality participation demonstrates that students are engaging with the material. Students will select one topic to present in class. The course
also includes an online component (http://myASUcourses.asu.edu) where students can continue to discuss course topics.

**Applied Evaluation Project:** A student (or students) will perform evaluation research. Two options are available: conducting an evaluation for a nonprofit/public agency or conducting research related to evaluation topics. Students must identify a project by themselves and consult with the instructor about a topic before January 14.

Note the following key dates and times for projects milestones and deliverables:

<table>
<thead>
<tr>
<th>Date</th>
<th>Due</th>
</tr>
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<tbody>
<tr>
<td>January 14 (Mon), 5PM</td>
<td>Research topic and plan due</td>
</tr>
<tr>
<td>January 23 (Wed), 5PM</td>
<td>Progress report I due</td>
</tr>
<tr>
<td>January 30 (Wed), 5PM</td>
<td>Progress report II due</td>
</tr>
<tr>
<td>February 11 (Mon), 5PM</td>
<td>Draft final report due</td>
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<tr>
<td>February 16 (Sat)</td>
<td>In-class presentation</td>
</tr>
<tr>
<td>February 20 (Wed), 5PM</td>
<td>Final report due</td>
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- Research topic and plan (max. 2 pages, single-space): Includes a topic, a question, a type of evaluation, a detailed work plan (e.g. if necessary, provide milestones, people to interview, data collection and analysis plan, who will be in charge of which part of the work)
- Progress report I (max. 5 pages, single-space): Includes 1) an actual body of the report drafted as of the deadline (max 4 pages) and 2) a summary of activities - who has done what work on what date for the actual body of the work written (max. 1 page)
- Progress report II (max. 8 pages, single-space): Includes 1) an actual body of the report drafted as of the deadline (max 6 pages) and 2) a summary of activities - who has done what work on what date for the actual body of the work written (max. 2 page)
- Draft final report (max. 10 pages, single-space) – An expanded progress report
- Final report (max. 12 pages) – A finalized report

Additional materials on components of the project (Research Plan, Presentation, Final Report) and expectations of student/team performance will be discussed in class. Post deliverables to the Black Board site (Discussion Board) before the deadline.

**Grading**

Grades for specific elements will be allocated as follows:

<table>
<thead>
<tr>
<th>Element</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Attendance &amp; In-class discussion</td>
<td>20%</td>
</tr>
<tr>
<td>Progress Report I</td>
<td>20%</td>
</tr>
<tr>
<td>Progress Report II</td>
<td>20%</td>
</tr>
<tr>
<td>Applied evaluation project</td>
<td>40% total (distributed as follows)</td>
</tr>
<tr>
<td>Draft Final Report (20%)</td>
<td></td>
</tr>
<tr>
<td>Final Report (10%)</td>
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<tr>
<td>Presentation Evaluation by peer(10%)</td>
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</table>

There will be no incompletes given, with the exception of serious *unexpected* events that prevent
course completion. Any student in this situation must confer with me in advance. If you have to miss a class, please send me the date of your absence via email in advance. If you miss class more than once, the best participation grade you will earn is a C, regardless of your participation in class discussion. In this case, I advise you to withdraw the class.

**Reading**
The following is the main textbook for the course and is available from the ASU bookstore (and from various online sources):


Doctoral students are also expected to buy and read the following:


Other useful books (not required to buy unless you are personally interested):


Other required readings identified throughout the syllabus by author/chapter will be posted or distributed in class.

Students are encouraged to undertake additional reading in specific areas of interest to them. The GAO (http://www.gao.gov) is a good source for relevant reports in many areas. Many think tanks have evaluation reports available online. Some of the more prominent/prolific include the Manpower Demonstration Research Corporation (MDRC) (http://www.mdrc.org), the Urban Institute (http://www.urban.org), Abt Associates (http://www.abtassociates.com), and Mathematica Policy Research (http://www.mathematica-mpr.com). Journals that are particularly relevant to policy analysis and program evaluation are listed on page ten of the course textbook. I subscribe to *Evaluation Review*, the *Journal of Policy Analysis and Management*, and the *American Journal of Evaluation*, the latter two of which offer relatively inexpensive student memberships/subscriptions.

**Course Schedule**
The following is the schedule for class meetings, with reading assignments for each. For each date, students should do the readings *in advance*, to permit participation in discussion (all readings are required, with the few optional readings identified as such). It’s not called an *intensive* for nothing! But I guarantee useful return on your investment of time and energy.
**Day One: January 11, Friday**

Introduction to each other, to course methods and to course substance
Discussion on applied evaluation projects

Approaches to evaluation  
*House, pp.15-64 (online)*

What is program evaluation?  
*Rossi, Lipsey & Freeman, Chapter 1*

Tailoring evaluations & evaluation in practice: getting started with applied projects  
*Rossi, Lipsey & Freeman, Chapter 2*

Assessing need & defining the problem: size, scope, place, time, people, and institutions  
*Rossi, Lipsey & Freeman, Chapter 4*

**Day Two: January 12, Saturday**

Describing the intervention & articulating evaluation questions: describing goals, the logic/causal model and the nature of causation, the implementation/operational model, overlaying the evaluation lens  
*Rossi, Lipsey & Freeman, Chapters 3, 5*

Process/implementation evaluation: program operations, connection between design and practice, monitoring program inputs, process and outputs  
*Rossi, Lipsey & Freeman, Chapter 6*

Measurement: operationalization, levels of and changes in outcomes, reliability, validity, monitoring outcomes  
*Rossi, Lipsey & Freeman, Chapter 7*

**Day Three: January 25, Friday**

Determining program impacts I: experimental design in theory and in practice  
*Rossi, Lipsey & Freeman, Chapter 8*

Determining program impacts II: non-experimental evaluation designs  
*Rossi, Lipsey & Freeman, Chapter 9*

Data analysis & interpretation: pre-post/treatment comparisons, regression adjustment  
*Rossi, Lipsey & Freeman, Chapter 10*

**Day Four: January 26, Saturday**

Cost-effectiveness and cost-benefit  
*Rossi, Lipsey & Freeman, Chapter 11*

Research synthesis and meta-analysis  
*Cooper, Hedges, & Valentine, Chapter 1 (online); Shadish, Cook & Campbell, Chapters 13 (online); Yang & Lester (online) - example*

Data collection: ethics, human participants and confidentiality considerations; data collection logistics, timing, planning; instrument/survey design
Shadish, Cook & Campbell, Chapters 9 (online)

Day Five: February 15, Friday

Validity
Shadish, Cook & Campbell, pp.33-82 (online); Peck, Kim, & Lucio (online)
Use
Patton (1997), Chapter 15 (online); Peck & Gorzalski (online)
Developmental evaluation
Patton (2011), Chapter 1 (online)

Time to finalize draft and presentation plans

Day Six: February 16, Saturday

Student presentations
Feedback for final reports

Academic Integrity
The ASU Graduate College bulletin summarizes the university’s statement on academic honesty as follows: “The highest standards of academic integrity are expected of all students... Violations of academic integrity include, but are not limited to, cheating, fabrication, tampering, plagiarism, or facilitating such activities...” In particular, “‘fabrication’ means falsification or invention of any information or citation” and “‘plagiarism’ means representing the words or ideas of another as one’s own.” Both the university and I take these issues very seriously. If you have any questions about how to cite someone else’s work (including words, ideas, charts/graphs), please ask; using others’ ideas to generate your own is part of the learning process, and it is important to give appropriate credit along the way.

Note:
The syllabus is subject to change by the instructor.
Bring a laptop in class and use the laptop when is asked by the instructor
Instructor:

Dr. Edwina Dorch, Ph.D.
Visiting Associate Professor
edorch@bushschool.tamu.edu
Bush School, Allen Building,
Classroom 1107

Office Hours

The Professor’s office hours are after class on Tuesdays and Thursdays or by appointment.

Course Overview

The goal of the course is for students to learn how to evaluate (federal, state and local) public and non-profit social service agencies.

Course Goals

During the class, students will:

1. Compare and contrast an academic hypothetical-deductive to an agency stakeholder inductive “utilization-focused” research approach for a social service program; and

Engage in Deductive Research Strategies

2. Indicate the independent (or causal variables) operating in a social service program;
3. Identify one or more (nominal, ordinal or interval) dependent (or outcome variables) implicitly or explicitly being used by a selected social service program;
4. Chose a (non-probability e.g., convenience or quota or probability e.g. simple random or systematic or stratified) sampling strategy that could be used to collect data from a selected social service program;
5. Select a randomization tool (e.g. table of random numbers or SPSS or SASS software);
6. Formulate a pre-experimental (case study) and/or (pre-post test or post-test only) quasi-experimental design and/or a (between, within, and/or mixed subjects) truly experimental research design that would be appropriate for a social service program;
7. Select the appropriate statistical test(s) and software appropriate for program data.

Engage in Inductive Research Strategies

7. Generate a case study and create a logic model describing a selected agency’s input(s) e.g., staffing, locations and funding, output(s) i.e., services and client outcomes;
8. Select a (survey, interviewing, focus group, observation, case record review) method and propose a (software) content analysis method for a selected social service program;
9. Determine the **advantages & disadvantages** of using said method (above) for a selected social service program;

10. Describe a social service agency’s organizational readiness to engage in program evaluation as well as its **organizational learning capacity**;

11. Develop an **agency needs assessment**, obtain an agency’s **baseline** performance level as well as its desired performance level and **benchmark** a selected agency against another ‘best practice’ agency;

12. Generate each section of a **research report** according to APA formatting style and provide a **power-point presentation** of the research proposal for a selected program;

13. Explain three or four **ethical issues** that would be involved in performing research utilizing the a) sampling plan b) research method-design for a program;

**Required Texts (i.e., Required Reading)**

Title: Research Methods in Social Relations, Author: Rick H. Hoyle, Monica J. Harris, Charles M. Judd Edition: 7th (2001) Publisher: Wadsworth Publishing

Title: Experimental and Quasi-Experimental Methods, Authors Donald Campbell & Julian Stanley, Publisher: Rand McNally (1963)


**Additional Required Reading (To Prepare Your Term Paper)**

A set of handouts has been prepared for you and will be distributed on the first day of class so that you do not have to read them on-line on electronic reserve or copy them using your own funds.

**Student Classroom Etiquette**

24.3.12 **Disruptive activity. Participation in disruptive activity that interferes with teaching, research, administration, disciplinary proceedings, other University missions, processes, or functions including public-service functions, or other university activities.** Such activities may include, but are not limited to:

- Leading or inciting others to disrupt scheduled and/or normal activities on university premises.
- **Classroom behavior that seriously interferes with either (a) the instructor’s ability to conduct the class or (b) the ability of other students to profit from the instructional program.** (See Texas A&M University Rule on Classroom Behavior, section 21 of this publication.)
- Any behavior in class or out of class, which for any reason materially disrupts the class work of others, involves substantial disorder, invades the rights of others, or otherwise disrupts the regular and essential operation of the University.
- Activity or conduct that violates the Texas A&M University Rules on Freedom of Expression (See Appendix XI).

See the following website for the full statement - [http://student-rules.tamu.edu/rule24](http://student-rules.tamu.edu/rule24)
Grading

A= 90 -100%
B= 80 - 89 %
C= 70 - 79%
D= 60 – 69%

Mid-term Report and (15 Minute) Power Point Presentations: 30 Pts

Provide a case study or formative evaluation of the agency-program you selected i.e., provide a description of its history, program goals, staffing, number and type of clients and how the agency decides whether or not it’s program is successful (see formative evaluation handout). Please schedule an office visit at midterm (March 9 – 11) to discuss your progress in my class.

Final Report and Power Point Presentation: 30 Pts.

Your written term paper must be at least 10 pages long, double spaced with one inch margins, literature review references, logic model tables and appendixes and must follow the American Psychological Association (APA) Publication Manual: ISBN: 1557988102 Website: http://www.apastyle.org. (see handouts and a student sample that received a ‘B’ grade to become clearer as to what is expected on the final paper).

Attendance 24 Pts.

Students will receive one point for each day of class attendance and for submitting the associated class assignment (Either non-attendance or non-submission can result in loss points).

Two (30 Minute) Class Presentations (for 6 points each) 12 Pts.

Each student will team-teach one class along with the instructor. Students should have read the reading assignment, listed at least three items for discussion and three questions for students. Discuss your presentation with me one week in advance of your presentation.

Reflections on Your Research Learning Experience 4 Pts

On the last day of class students will provide a 10 minute presentation regarding the two most important research topics learned (5 pts will be subtracted if a student does not present).

Late Assignments

The instructor will only give extensions for true emergencies. If you turn in an assignment late without an approved extension, you may not receive full credit for the assignment.

Notifying the Instructor:

If at any time you must be away from the classroom or email more than two consecutive days, you should notify the instructor prior to your absence. In the event of an emergency, you should contact (email or phone) the instructor as soon as possible. If the instructor cannot be reached, you may contact the Bush School Secretary, Kimberly Reeves at 979-862-8821.
**Dates, Topics and Reading Assignments**

**Jan 19-21**
- Syllabus (Reading Schedule, Assignments, Class Etiquette, Mid-term, Final, Agency Selection)
- APA Formatting: Lecture Only: Writing For Research Journals – Paper Preparation

**Jan 26-28**
- Journal Article: Best: Feminism, Science Wars & Positivism 353-362 (9 pgs)

**Feb 2-4**
- **Inductive Research: Case Study, Participatory Action Research & Organizational Story Telling**
  - Article by Fine: Ten Lies of Ethnography 267-294 (27 pgs) S1-2
  - Excerpts From Book by: Yin: Case Study Research 2-63 (61 pgs)
  - Article by Brunner & Guzman, Participatory Evaluation 9-18 (9 pgs)
  - Article by Morgan & Dennelly, & Articles by Denning (Story Telling) (18 pgs)

**Feb 9-11**
- **Inductive Research Methods Continued**
  - Article by Thomas & James: Reinventing Grounded Theory 767-795 (28 pgs)
  - Textbook: Hoyle et al: Ways of Knowing 3 - 44 (41 pgs)

**Feb 16-19**
- **Questionnaires, Interviews, Observations, Client Records and IRB-Ethical Issues**
  - Textbook: Hoyle: Observation and Archival Research 361 – 420 (59 pgs)
  - Textbook: Hoyle: Ethics 45-72 (27 pgs) S5-6

**Feb 23-25**
- **Deductive Research: Random Sampling and Statistical Tests (Levels of IV, Number & Types of DV)**
  - Textbook: Hoyle et. al. 181 – 233 (52 pgs) S7-8

**March 2-4**
- **Pre-Experimental, Quasi-Experimental & True Experimental Designs and Validity & Reliability**
  - Textbook: Campbell & Stanley 1-33 (32 pgs) S9-10
  - Textbook: Campbell & Stanley 34-71 (37 pgs)

**Mar 9-11**
- Mid-term Presentations

**Mar 15-19**
- Spring Vacation

**Mar23-25**
- **Various Types of Logic Models, Logic Model Tables and Associated Theories Behind Logic Models**
  - Article by Rogers 63-66 (3 pgs) S1-2
  - Article by McCaughton 7-32 (25 pgs)
  - Article by Bickman 5-18 (13 pgs)
  - Concept Examples From Reisman and Clegg Workbook (7 pgs.)

**Mar30-Apr1**
- **Using Results: A More “Democratic” (i.e., Collaborative) Research Paradigm**
  - Selected Pages: From Patton: Utilization-Focused Evaluations: 3rd Edition (90 pgs) S3-4

**April 6-8**
- **Using Results: Agency Knowledge Brokers (p 63) Stages/Methods (p. 64) Barriers & Enablers (p.81)**
  - Book: Nutley, Walter & Davies 1-90 (90 pgs) S5-6

**April 13-15**
- **Using Results: Dec Making (105) Dissemination (138) Org Readiness (184) Networks (187)**
  - Book: Nutley, Walter & Davies 90-194 (103 pgs) S7-8

**April 20-22**
- **Using Results: Performing Needs Assessments & Benchmarking Agencies**
  - Selected Pages From Both Gu[t]a & McArdle Needs Assessments Workbooks (36 pgs) S9-10
  - Selected Pages From: Kyro: Benchmarking 210-225 (15 pgs)

**April 27-29**
- Term Paper Presentations by Students (Alphabetically 15 Min Power-Point)

**May 4**
- Reflections and Instructor Evaluations

**May 10**
- Paper Due Electronically at Noon
**Student Weekly Assignments (These are due electronically on the date listed below)**

<table>
<thead>
<tr>
<th>Date</th>
<th>Assignment</th>
</tr>
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<tbody>
<tr>
<td>Jan 19-20</td>
<td>Presentation of Semester Schedule, Reading &amp; Student Assignments Telephone then perform social service site visit (i.e., ask questions, take a tour)</td>
</tr>
</tbody>
</table>
| Jan 26-28  | 1. Describe the usefulness and pros & cons of inductive v. deductive research  
             2. Indicate the agency-program you’ve selected & provide organizational story |
| Feb 2-4    | 1. Write a 2 page case study (or history) of your social service program  
             2. Describe in detail 3 major political or logistical problems the program faces |
| Feb 9-11   | 1. List the steps you would use to hold a focus group in your agency  
             2. Select a type of software you would use to perform a content analysis on agency staff responses and explain why you would use that v. some other type |
| Feb 16-19  | 1. Select a survey, interview, observation method & explain disadvantages  
             2. List 3 ethical challenges you could encounter and how you could avoid them |
| Feb 23-25  | 1. Indicate IV, levels of IVs, DVs, type(s) of DVs statistical tests & software  
             2. Indicate a sampling type and if random, the type of randomization method e.g. (table of random numbers, random e.g., SPSS number generator |
| Mar 2-4    | 1. Select a pre or quasi-experimental design for your selected program  
             2. Diagram a randomized (between, within or mixed subjects) design for your agency |
| Mar 9-11   | Mid-term Presentations |
| Mar 15-19  | Spring Vacation |
| Mar 23-25  | 1. Complete a logic model for your agency (see Clegg Workbook p.31&52)  
             2. Complete quadrants exercise, indicate agency baseline & desired projections |
| Mar 30-Apr  | 1. List situational (political) factors involved in the agency (see Patton Exhibit 6.1)  
             2. Indicate steps to getting agency’s research ‘buy-in’ (see Patton Exhibit 7.5) |
| Apr 6-8    | 1. Indicate agency knowledge broker(s), knowledge banks, Knowledge units  
             2. Indicate the administrative or training center barriers to utilizing your research |
| Apr 13-15  | 1. Indicate the organizational learning & readiness for research knowledge  
             2. Indicate a potential research dissemination strategy for your selected agency |
| Apr 20-22  | 1. Create a needs assessment format for your agency (see McArdle pages)  
             2. What agency(s) could you compare (i.e., benchmark) your agency to |
| April 27-29| Power-Point Presentation That Could Be Given to Agency Program Manager |
| May 4      | Reflections and Instructor Evaluations |
| May 10     | Term Paper Due Electronically at Noon |
Bloom’s six levels of cognition:

**Skills/Abilities Undergraduate Students Are Generally Expected to Exhibit**

i. Knowledge: remembering information; define, identify, label, state, list, match, repeat

ii. Comprehension: explaining the meaning of information; describe, generalize, paraphrase, summarize, estimate

iii. Application: using abstractions in concrete situations; determine, chart, implement, prepare, solve, use, develop

**Skills/Abilities Graduate Students Are Generally Expected to Exhibit**

iv. Analysis: breaking down a whole into component parts; points out, differentiate, distinguish, discriminate, compare, contrast

v. Synthesis: putting parts together to form a new and integrated whole; create, design, plan, organize, generate, write

vi. Evaluation: making judgments about the merits of ideas, materials, or phenomena; appraise, critique, weigh, evaluate, select, recommend

**Student Agency-Program Selection**

Below is a list of agencies. Each agency provides a social service (program) and each of these agencies evaluates the quality of its services in some way. You are to provide a program evaluation of one of these agencies utilizing the lectures and readings listed in this syllabus. Decide among yourselves which student will evaluate which agency but there should be no more than two students studying the same program.

**Brazos Valley Food Bank (School Program & Senior Program)**
1514 Shiloh
Bryan Tx, 77803
979-779-3663 - Teresa Mangapora t mangapora@bvfb.org

**Twin City Mission (Homeless Services & Domestic Violence Services)**
2505 S. College Ave
Bryan, Tx 77801
979-822-7511

**Brazos Valley Council of Government (has several programs)**
3991 East 29th Street
Bryan, Tx
979-595-2801 Michael Parks

**TANF and Workforce Center (For the unemployed)**
3991 EAST 29TH ST
BRYAN, TX 77802-4228
800) 386-7200

**Mental Health – Mental Retardation Authority Brazos Valley**
1504 Texas Ave
Bryan, Tx, 77802
(979) 822-6467
**Incomplete Grades**
A temporary grade of I (Incomplete) at the end of a semester or summer term indicates that the student (graduate or undergraduate) has completed the course with the exception of a major quiz, final examination or other work. The instructor shall give this grade only when the deficiency is due to an authorized absence or other cause beyond the control of the student. When an instructor reports an incomplete grade to the registrar, he or she will fill out an “Incomplete Grade Report,” which is filed with the department head. Copies are sent to the student and to the student’s academic Dean or designee. This report includes (1) a statement of the instructor’s reason for awarding the incomplete grade and (2) a statement concerning the remaining work to be completed before the last day of scheduled classes of the next fall or spring semester in which the student enrolls in the university unless the student’s academic Dean or designee, with the consent of the instructor (in the absence of the instructor, the department head), grants an extension of time for good reason. If the incomplete work is not completed within this time or if the student registers for the same course again or the grade will be changed to an F by the registrar.

**Academic Integrity**
An Aggie does not lie, cheat, or steal or tolerate those who do. Students are expected to adhere to standards of academic integrity. Scholastic dishonesty consists of lying, cheating or stealing academic information with intent to gain academic advantage. Academic dishonesty comes in a variety of forms. The most common forms are plagiarism, cheating, and academic misconduct. Students who participate in any of these activities will be subject to appropriate University disciplinary action. Students are expected to review, utilize and adhere to the University’s Honor Council Rules and Procedures, which are posted on the University’s web site at http://www.tamu.edu/aggiehonor. This website provides detailed information and clarification policies, procedures, and rights and responsibilities related to academic integrity.

**Plagiarism**
The attention of each student is directed to the requirement to avoid plagiarism or the appearance of plagiarism through sloppy citation. As commonly defined, academic dishonesty/plagiarism consists of passing off as one’s own ideas, words, writings, etc, that belong to another. In accordance with this definition, you are committing plagiarism if you copy the work of another person and turn it in as your own, even if you have the permission of the person. It does not matter from where the material is borrowed--a book, an article, material off the web, another student’s paper--all constitute plagiarism unless the source of the work is fully identified and credited. It is important when using a phrase, a distinct idea, concept, a sentence, or sentences from another source to credit explicitly that source either in the text, a footnote or endnote. Plagiarism is a violation of academic and personal integrity and carries extremely serious consequences. Scholastic dishonesty (including cheating and plagiarism) will not be tolerated and will be punished in accordance with Texas A&M University Student Rules. If you have any questions, please consult the course instructor.

**Americans with Disabilities Act (ADA)**
The Americans with Disabilities Act (ADA) is a federal anti-discrimination statute that provides comprehensive civil rights protection for persons with disabilities. Among other things, this legislation requires that all students with disabilities be guaranteed a learning environment that provides for reasonable accommodation of their disabilities. If you believe you have a disability requiring an accommodation, please contact the Department of Student Life, Services for Students with Disabilities at 979-845-1637 by phone or at disability@tamu.edu by email.
PPD 542: POLICY AND PROGRAM EVALUATION

Spring 2011
University of Southern California
School of Policy, Planning, and Development

Thursdays: 2:00 - 5:20 PM RGL 215
Professor: Nicole Esparza
Grader: Hyunjoon Joo jooh@usc.edu
Office Hours: Thursdays 11:00 to 1:00 PM (also by appointment)
Office Location: RGL 201F
Office Phone: (213) 821-4237
E-Mail: neesparz@usc.edu

COURSE DESCRIPTION

Program evaluation is the systematic investigation of social programs, regulations, or policies. The aim of program evaluation is to provide valid findings in order to determine whether a particular program or policy is achieving its objectives. Evaluations are used for various reasons, most commonly to aid in decisions concerning whether programs should be continued, improved, expanded, or curtailed. This course will introduce students to a variety of research designs and related methodological tools useful for evaluating the impact of public policies and programs. Students will learn methods of collecting, analyzing, interpreting, and communicating information used in evaluation reports. Furthermore, evaluations facilitate decision-making for both public managers and policymakers; therefore, students will learn how to be critical and effective users of evaluations. In this course we will examine a broad range of social policy areas including health, criminal justice, education, welfare and poverty, and development.
Prerequisite: PPD 404x.

READING MATERIAL

Each class is organized around assigned readings. Students are expected to read the assigned pages prior to the class in which they will be discussed, both to increase understanding of the lecture and to facilitate class discussion. Because most evaluation work is conducted by teams, having the opportunity to discuss and design evaluation approaches jointly is essential to the learning process.

The required text for this course is available at the Trojan Bookstore.


In addition, a number of article-length readings are assigned and posted on Blackboard.
https://blackboard.usc.edu/
A helpful web resource is the Research Methods Knowledge Base: http://www.socialresearchmethods.net/kb/desintro.htm

COURSE REQUIREMENTS

The course grade will be based on five components: in-class exercises, homework assignments, a midterm, a team presentation, and team evaluation proposal.

1. In-Class Exercises. The class format will consist of lectures, group discussion, and in-class exercises. These exercises will account for 10% of the course grade and are meant to teach program evaluation through application. Since they are done in-class they cannot be made up, therefore weekly attendance is required. Most of the exercises will be done in teams (sometimes in the student’s evaluation proposal team and sometimes in random impromptu teams).

2. Homework Assignments. There will be weekly homework assignments that will account for 25% of the course grade. The assignments will be posted on Blackboard one week prior to the due date. Diminished credit will be given to assignments that are up to one week late; however, after that date, no credit will be given to assignments without prior approval.

3. Midterm. There will be a take-home midterm exam due March 2nd. The midterm will be worth 25% of the course grade.

4. Team Presentation. Students will be placed in groups of 3-4 students and asked to submit a research proposal to evaluate a public program or policy. Each team will present an oral version of their proposal during the last two class sessions. The presentations will allow feedback from classmates and help teams develop the final, written product. The presentation will account for 10% of the course grade.

5. Team Evaluation Proposal. Each team will be required to submit an evaluation proposal, equivalent in length and detail to a term paper. The evaluation proposal will be due May 2nd and will account for 30% of the course grade. The proposal will be modeled after a client-focused evaluation and will allow students to apply what she has learned throughout the course. More details will be given in class.

*Doctoral students will complete their work individually rather than in teams. Please see me for more details on course requirements for doctoral students.

Submission of Material on Blackboard. All homework assignments, midterms, and evaluation proposals will be submitted online on Blackboard under “Assignments.” All files must be named according to this convention: “student last name – assignment”. If I turned in assignment 3, I would name it “esparza – A3.doc”. The midterm would be “esparza – midterm.doc”. Students who do not use these conventions are much more likely to have their assignments lost or have grading delayed.

Most coursework will be graded by the professor and a grader. However, grading for team presentations and proposals will be based in part on peer assessments.
To summarize, the course grade is assigned as follows:

<table>
<thead>
<tr>
<th></th>
<th>Points</th>
<th>Percentage</th>
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<tbody>
<tr>
<td>In-class exercises</td>
<td>40</td>
<td>10%</td>
</tr>
<tr>
<td>Homework assignments</td>
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<td>25%</td>
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<tr>
<td>Assignment 1</td>
<td>5</td>
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<td>Assignment 2</td>
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<td>Assignment 3</td>
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<td>Assignment 7</td>
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<tr>
<td>Midterm</td>
<td>100</td>
<td>25%</td>
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<tr>
<td>Team presentation</td>
<td>40</td>
<td>10%</td>
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<tr>
<td>Team evaluation proposal</td>
<td>120</td>
<td>30%</td>
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<tr>
<td><strong>Total points</strong></td>
<td><strong>400pts</strong></td>
<td><strong>100%</strong></td>
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STATEMENT ON ACADEMIC INTEGRITY:

General principles of academic integrity include and incorporate the concept of respect for the intellectual property of others, the expectation that individual work will be submitted unless otherwise allowed by an instructor, and the obligations both to protect one’s own academic work from misuse by others as well as to avoid using another’s work as one’s own. All students are expected to understand and abide by these principles.

STATEMENT ON DISABILITIES:

The university will provide reasonable accommodation of academically qualified students with disabilities, so those students can participate fully in the university’s educational programs and activities. Although USC is not required by law to change the “fundamental nature of essential curricular components of its programs in order to accommodate the needs of disabled students,” the university will provide reasonable academic accommodation. Any student requesting academic accommodations based on a disability is required to register with Disability Services and Programs (DSP) each semester. A letter of verification for approved accommodations can be obtained from DSP. Please be sure the letter is delivered to me as early in the semester as possible. DSP is located in STU 301 and is open early 8:30 a.m. – 5:00 p.m., Monday through Friday. The phone number for DSP is (213) 740-0776.”
COURSE OUTLINE

Week 1  Introduction and Objective of the Class

I. Evaluation Frameworks

Week 2  Logic Models in Evaluation & Needs Assessments
Assignment 1 due: Online survey.

Week 3  Guest Lecture
Assignment 2 due: Nebraska Needs Assessment.

II. Methodological Design

Week 4  Impact Assessments & Experimental Design

Week 5  Quasi-experimental Design: Single Group & Groups
Assignment 3 due: Experimental design problem set.

Week 6  Quasi-experimental Design: Comparison and Nonequivalent
Assignment 4 due: Quasi-experimental design problem set.

Week 7  Midterm due by midnight—No Class

III. Data Collection & Analysis

Week 8  Sample Design & Case Selection

Week 9  Data Collection: Focus Groups

Week 10  Spring Break—No Class

Week 11  Data Collection: Interviews & Qualitative Analysis
Assignment 5 due (Team Project): Each team will write a 1-2 page summary of the program or policy your team plans to evaluate along with a rough sketch of your research design.

Week 12  Data Collection: Survey
Assignment 6 due: Qualitative analysis due.

Week 13  Data Analysis: Descriptive and Inferential Statistics
IV. Project Management and Finished Product

Week 14  Project Management & Team Presentations I

Week 15  Team Presentations II

April. 28  Final Team Evaluation Proposal due by midnight

Assignment 7: Peer assessment online survey. This 10 minute survey is due within 36 hours of submitting your evaluation proposal. (I need your peer assessments to determine final grades).
<table>
<thead>
<tr>
<th>Week</th>
<th>Date</th>
<th>Readings</th>
<th>Assignments Due</th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td>1/20</td>
<td>(W) Chapter 1 Kellogg Foundation Logic Model Development Guide, Chpt 4 Rossi et al. “Assessing the Need for a Program,” pp. 119-135 Case: Team READ (A)</td>
<td>1</td>
</tr>
<tr>
<td>3</td>
<td>1/27</td>
<td>Guest Lecture-- Needs Assessments</td>
<td>2</td>
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<tr>
<td>7</td>
<td>2/24</td>
<td>Midterm--No Class</td>
<td>Midterm due by midnight</td>
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<tr>
<td>10</td>
<td>3/17</td>
<td>Spring Break--No Class</td>
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<tr>
<td>13</td>
<td>4/7</td>
<td>(W) Chapters 16 (pp. 468-475) &amp; 17 Johnson. 2002. &quot;Data Analysis for Description&quot; Case: Welfare Reform in Washington State (A)</td>
<td></td>
</tr>
<tr>
<td>14</td>
<td>4/14</td>
<td>(W) Chapter 20 &amp; 21 Evaluation of Florida's Drug Control &amp; System Improvement</td>
<td>Team Presentations I</td>
</tr>
<tr>
<td>15</td>
<td>4/21</td>
<td>Last Class</td>
<td>Team Presentations II</td>
</tr>
<tr>
<td>16</td>
<td>4/28</td>
<td>Final Team Evaluation Proposal</td>
<td>Proposal due by midnight</td>
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<td>5/1</td>
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<td>7</td>
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INTRODUCTION AND COURSE OBJECTIVES

The official bulletin describes V540 as follows: “Explanation of law in society and its influence on public sector operations. Examination of some of the central substantive areas of the study of law, including regulatory processes, administrative adjudication, the Administrative Procedures Act, ombudsmen, and citizen rights, among others.

This course will examine the response of the American legal system, with its historic commitment to individual liberty and autonomy, to the growth of the administrative state and to an increasingly complex social environment characterized by pluralism and professional differentiation. We will discuss conflicting visions of American government and different approaches to public administration, and consider how those differences have affected the formation and implementation of public policy within our constitutional framework. Throughout, we will consider the constitutional and ethical responsibilities of public service—the origins of those responsibilities and their contemporary application.

While relatively few people will become public officials or public managers, all Americans are citizens, and most citizens will participate in the selection of public officials and will take positions on the policy issues of the day. Accordingly, this course is intended to introduce all students to the constituent documents that constrain public action and frame policy choices in the American system. These explorations will inevitably implicate political (although not necessarily partisan) beliefs about the proper role of the state, the health of civil society, and the operation of the market. To the extent possible, these theoretical and philosophical beliefs will be made explicit and their consequences for policy and public sector behavior examined. The goal is to help students understand why certain policy prescriptions and/or public actions attract or repel certain constituencies, and to recognize the ways in which these deeply held normative differences impact our ability to forge consensus around issues of public concern.
In the course of these inquiries, we will consider the implications of the accelerating pace of social change on issues of governance: globalization, especially as it affects considerations of legal jurisdiction; the increasing interdependence of nations, states, and local governmental units; the blurring of boundaries between government, for-profit and nonprofit organizations, and the effect of that blurring upon constitutional accountability; the role of technology; and the various challenges to law and public management posed by change and diversity, including the impact and importance of competing value structures to the formation of law and policy.

By the end of the semester, students should be able to recognize legal and constitutional constraints on public service and policy formation, and to identify areas where public policy or administration crosses permissible boundaries. They should be able to recognize and articulate the impact of law and legal premises on culture and value formation, and to understand and describe the complex interrelation that results.

**SPEA LEARNING OBJECTIVES**

Law and Public Affairs is a core class in the MPA. It satisfies the following learning objectives that have been identified by the MPA faculty:

**Globalization**
- understanding of the economic, political, social, and ecological dimensions of globalization; understanding interdependencies among nations, states, sectors, institutions, and cultures
- understanding of the shifting of national responsibilities in the direction of international bodies; as well as in the direction of the private sector.

Law and Public Affairs begins with a discussion of U.S. federalism, and during the semester, we discuss the effect of recent growth of multinational bodies, both for-profit and nonprofit, and the effects of that growth on issues of legal jurisdiction and public administration. We discuss the logic of jurisdiction; i.e., pollution issues cross political boundaries. We discuss liberal democracies’ approach to cultural diversity and contrast that approach to laws of illiberal regimes. Case studies further incorporate these lessons.

**Governance**
- understanding different forms of governance; partnerships across sectors.
- understanding of the American legal system; how the legal system affects public policy; the legal constraints affecting the public and nonprofit sectors
- having a general understanding of the structure and functions of, and differences between, the public, private, and nonprofit sectors and how problems in the public domain are related to the private and nonprofit sectors.

Governance and the role of the legal system are major emphases of V540. We discuss the sectors, and issues of contracting; we cover the legal and constitutional structure
of American law, and detail how that structure both drives and constrains public sector behavior and policy options. Within that framework, we discuss philosophical and political approaches to questions about the proper role of law, the state, civil society and the operation of the market. We discuss the distinction between government and governance, and the issues those distinctions raise for political, fiscal and constitutional accountability. Case studies on specific policy areas incorporate constitutional and legal principles. Final papers address policy issues within the legal framework.

**Strategic Analysis and Action**
- understand the financial, political, and economic environments in the mixed market economy
- understanding of the key forces that drive change; manage complexity and change
- have a basic understanding of statistics and data analysis as well as research design; apply and use these skills and tools in policy formulation, evaluation, and decision-making
- understand the role of technology in public policy and management; use information technology in analyzing public policy and managing organizations

Some time is spent on the economic environment within which policy decisions are made, and some attention paid to the role of technology and the challenges posed by technological and media changes to the legal system; however, these competencies are otherwise tangential to V540.

**Organizational Management**
- understand how organizations operate and work together; including human behavior.
- understand alternative views; manage diversity
- understand collaborative leadership, leadership styles, and their impact on organizations and employees.
- Understand teamwork, deal effectively with conflict, and negotiate and communicate effectively across constituencies

While the issues of diversity and fair employment practices arise in the context of legal rights and remedies, these issues are not addressed from an explicitly management perspective. Instead, students are made aware of the legal and ethical principles governing manager activities. More technical instruction is reserved for other management classes.

**Professionalization**
- develop awareness about one’s responsibility and service to the public, ethical standards of professional practice; understand the role values play in decision making.
Ethical issues, constitutional values and professionalism permeate all parts of this class. Public managers are bound by constitutional ethics and considerations of conflicts of interest. “Due process of law” has an important ethical dimension. The proper exercise of discretion is dictated by both legal and ethical principals. Student presentations and papers are expected to reflect—and reflect upon—professional norms and ethical issues.

**LEARNING OUTCOMES**

At the conclusion of this course, you should be able to:

- Recognize the legal, ethical and constitutional issues arising out of globalization and differences between the American legal system and those of other countries, and articulate the implications of those differences for policy;
- Identify the constitutional constraints on public administration and policy formation, the areas of dispute over the nature and extent of those constraints, and the disparate ways in which they affect public, private and nonprofit agencies and organizations;
- Evaluate the adequacy of evidentiary bases of public policies;
- Understand the ways in which constitutional frames affect conflict resolution in a diverse society; and
- Appreciate the extent to which ethical public management rests upon constitutional competency.

**REQUIRED TEXTS**

The U.S. Constitution  
Any publisher or Web

_American Public Service: Constitutional and Ethical Foundations_  
Sheila Suess Kennedy and David Schultz  
Jones and Bartlett Publishing

_Talking Politics? What You Need to Know Before You Open Your Mouth_  
Sheila Suess Kennedy  
Georgetown University Press/ Digital Shorts Series

The following are **not** required, but are resources that may be consulted for helpful information or clarification. They are available in the library, or can be ordered in paperback from Amazon.com and similar outlets.

- “The Bill of Rights,” by Akhil Reed Amar
- “Policy Paradox: The Art of Political Decision Making,” by Deborah Stone
- “The Founders, the Constitution, and Public Administration,” by Michael W. Spicer
- “Constitutional Competence for Public Managers,” by David H.
HELPFUL WEBSITES:
http://www.cbpp.org/
http://www.publicagenda.org/
http://www.sheilakennedy.net
http://www.acs.org

FORMAT AND EXPECTATIONS

This course is intended to be highly interactive. Class discussion and (reasoned and respectful) argumentation is an expected and necessary part of the learning experience; public policy issues are by their nature contestable. In the absence of discussion and debate, their nuances cannot be fully understood, nor the passions they so often evoke. One of the goals of this class is to enable students to distinguish between principled, informed positions and those founded on emotion. Appropriate discussion—free of “labeling” or other characterizing of particular policy preferences—will facilitate that goal.

At the graduate level, particularly, a high degree of professionalism will be expected of class participants. Professionalism includes the following expectations:

- Work will be completed on time.
- Work will be fully responsive to the assignment.
- Analyses will be considered and supported by fact/authority.
- Presentations will be grammatically correct, persuasive, and civil.
- Written assignments will have a cover page, upon which only the following information will be listed: name, address, phone, email, date.
- Written work will be submitted in the following format: double spaced, paginated, right margins not adjusted.
- All assertions of fact in written work will be appropriately cited to sources within the body of the paper. Plagiarism or other forms of intellectual dishonesty will be dealt with severely and in strict accordance with SPEA and University policy.
- Class preparation requires that the assigned readings be completed prior to the scheduled discussion.
- Class discussions will be conducted with courtesy and respect for those holding different opinions.
- Regular attendance and participation are part of professional behavior, and will be expected.
- Students will adhere to SPEA policies on academic integrity and behavior, a copy of which are appended to this syllabus.
ASSIGNMENTS AND GRADING

There will be midterm and final exams, a class presentation/group project and a final paper. These will count toward the final grade as follows:

Midterm 25%
Policy Presentation/Group Project 20%
Research Paper 35%
Final Exam 20%

The grade assigned for written materials will reflect both content and writing; grammar, syntax and organization are important to the effectiveness of communication, and papers will be evaluated accordingly. (Attached to this syllabus is a grading rubric, containing the expectations for that paper and the basis upon which it will be graded.)

Late papers will be penalized by one letter grade. Students who believe that they are entitled to a change of the final grade must make that request within one month following the end of the semester in order for the request to be considered. A grade of Incomplete may be arranged for a student who is unable to complete the course for reasons beyond his or her control. The instructor reserves the right to refuse to issue an Incomplete in cases where sufficient cause or evidence is missing. W, for Withdrawal, will be given in conformance with University policy.

CLASS OUTLINE AND SCHEDULE

August 27 Course Introduction

The instructor will discuss the syllabus and class expectations and assignments. Chapter One of the text, setting out the basic premises and structure of American government, will be introduced and discussed; students should have read that chapter prior to class.

September 3 The Bill of Rights

This is the first of two classes that will review the essential elements of the Bill of Rights. The class will discuss the underlying philosophy of that document, with emphasis upon the First Amendment’s Free Speech and Religion Clauses, and will introduce the Fourth Amendment and the so-called “due process” Amendments. Team Project Assignments will be handed out.
September 10  Bill of Rights (continued)

We will conclude review of the Bill of Rights, with emphasis upon due process and equal protection, and the implications of those doctrines for public administration and policy.

September 17  American Political Culture and Constitutional Ethics

The class will discuss Chapter Two of the textbook, defining political culture and considering the interrelationship between political culture, civic culture and constitutional ethics. Students should have read Chapter Two prior to class.

September 24  Constitutional Foundations of Public Service Ethics

The class will discuss the final chapter in the first section of the textbook. Students should have read Chapter Three prior to class.

October 1  The Constitution at Work

We will begin discussion of the application of the Constitutional Ethic, looking at issues of representation, neutrality, and the public interest. Students should have read Chapter Four prior to class.

October 8  Justice, Equality and Difference

Chapter Five addresses some of the thorniest issues facing contemporary public managers. Students should have read the chapter prior to class, and come prepared to discuss the issues. There will be a brief review to prepare for the Midterm Exam.

October 15  Review

We will review the materials covered thus far in preparation for the Midterm, and time will be allocated to discuss research papers and team presentations.

October 22  Midterm Exam

October 29  Administrative Decision-Making

Midterms will be returned and discussed. The class will then discuss Chapter Six, and consider issues of ethical behavior in the administrative state. Students should have read Chapter Six prior to class.
November 5  **Blurring the Boundaries**

The final section of the textbook, “The Constitutional Ethic in the 21st Century,” will be introduced, with a discussion of the increasingly blurred boundaries between the three sectors: public, private and voluntary. Students should have read Chapter Seven.

Nov. 12  **Our Morphing Media & Where Do We Go From Here?**

The media enjoys a distinction that other private-sector actors do not: constitutional status and protection. Traditionally, the “press” has been the watchdog of government, informing citizens so that they can make educated decisions. In this class, we will consider the dramatic changes to our media environment in the age of the Internet, and the implications of those changes for our system of government and for the Constitutional Ethic. Students should have read Chapters Eight and Nine.

November 19/December 3/10  **Team Presentations**

December 10  **Term Papers Due/Take-home finals distributed**

**Attachment A: Team Projects**

Beginning on November 24th, student teams will make their presentations on subjects falling within their assigned substantive areas. The team’s choice of issue to be analyzed should be cleared in advance with the professor.

Students will be assigned to teams, and each team will have one hour within which to present all sides of the issue chosen. Aside from the requirement to fairly address competing arguments/policy considerations, teams are free to choose any presentation format they wish: prior presentations have used PowerPoint, film clips and other media and have taken the form of debates, games and skits. Creativity is a plus.

While all positions on the issue must be presented, if a team believes that the weight of evidence favors one particular solution, or point of view, it may argue in favor of that position. Similarly, if no current position is deemed adequate, an alternative may be offered.

The purpose of the presentation is to encourage in-depth consideration of a particular ethical or policy issue, its legal and constitutional ramifications, and its implications for government legitimacy, constitutionality and the rule of law. Added information about the policy presentations will be provided when teams are assigned.
### Exhibit C: Grading Guidelines for Paper Assignment

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<th>Paper requirements</th>
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<tr>
<td>5</td>
<td>The paper is appropriately prepared: 20-25-pages in length, paginated, typed, double-spaced, 12-point font, approximately 1-inch margins on all sides, stapled, and a coversheet. Coversheets, tables of content, charts, graphs, pictures, and reference pages do not count towards page total.</td>
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<td>5</td>
<td>The paper’s introduction provides a brief overview of the topic, the body of the paper has appropriate section headings, and you reach a conclusion.</td>
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<td>10</td>
<td>The paper is free from grammar and spelling errors.</td>
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<tr>
<td>15</td>
<td>The focus of the paper—why this issue is important—is explained, and the legal and policy considerations are clearly addressed.</td>
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<tr>
<td>15</td>
<td>The paper makes good use of relevant and credible research to inform a quality analysis of the issues involved.</td>
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<tr>
<td>20</td>
<td>The paper is coherent and clearly communicated. The prose is straightforward, clear and free of pretension and flowery language. Quoted material is clearly labeled and properly attributed. (Note: even a minor failure to properly attribute quoted language will penalized. Actual plagiarism will be dealt with in accordance with SPEA policy as set out in the course syllabus.)</td>
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<tr>
<td>20</td>
<td>All sides of the issue are fairly examined and analyzed. The paper provides a comprehensive review of the topic, the available literature and the competing points of view. Personal opinion is kept to a minimum. The paper analyzes and considers the relative merits of competing arguments; it is not a “brief” arguing for a particular position.</td>
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<tr>
<td>10</td>
<td>The paper uses at least 15 different references/citations. Students are strongly encouraged to go above this minimum requirement. Books, government and non-governmental agency reports, and articles from law or research journals are considered appropriate primary sources. Textbook, internet, and newspaper references should not be used as primary resources, although they may be used to supplement the more standard sources enumerated above. Exceptions to this requirement must be discussed and approved by the instructor prior to final paper submission. The references/citations in the paper and the reference can be done in any format—APA, MLA, etc.—so long as they are done correctly and consistently.</td>
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Percentages show relative weight assigned to each element.
**SPEA 2014 Policies**

**Syllabus Addendum**

There are a number of campus-wide policies governing the conduct of courses at IUPUI. These can be found at [http://registrar.iupui.edu/course_policies.html](http://registrar.iupui.edu/course_policies.html). Additional information for SPEA courses is below.

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<th>Civility and Disorderly Conduct</th>
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SPEA, which is a professional school, expects students to conduct themselves in a courteous and civil manner in interactions with professors and fellow students. This requires each person to be courteous, tolerant, and respectful during interactions with one another in all interactions, including face-to-face interactions, e-mail, and telephone conversations. Examples of discourteous behavior during class include reading the newspaper, working crossword puzzles, listening to headphones, talking or laughing with other, arriving late, using computers to surf the web, allowing cell phones to ring or sending text messages, or other non-class activities. The use of language, tone, or gestures that are inappropriate or offensive is also discourteous. These behaviors are not acceptable, and SPEA faculty and staff will address these problems as they arise either in class or on an individual basis.

Disorderly conduct that interferes with teaching, research, administration, or other university or university-authorized activity will not be tolerated and will be reported immediately to the Office of the Dean of Students for disposition, which may result in disciplinary action, including possible suspension and/or expulsion from the university. Responsibilities and expectations of students and faculty can be found at [http://registrar.iupui.edu/misconduct.html](http://registrar.iupui.edu/misconduct.html).

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<th>Academic Misconduct</th>
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Students are responsible for upholding and maintaining academic and professional honesty and integrity ([IUPUI Code of Student Rights, Responsibilities, and Conduct](http://www.iu.edu/~code/), Part II Student Responsibilities, G).

Plagiarism is the most common academic misconduct violation, and some students, who have been disciplined for plagiarism, have said they were not aware that they had plagiarized their work. Be aware that ‘not knowing’ does not excuse academic misconduct – every student is responsible for knowing the rules. The IU School of Education’s ‘How to Recognize Plagiarism’ is an on-line tutorial that can help you avoid plagiarism. It can be accessed at [http://www.indiana.edu/~istd/](http://www.indiana.edu/~istd/). If you have any questions about what constitutes academic misconduct for a course you are taking, be sure to ask the instructor for an explanation.

All faculty have the responsibility of fostering the “intellectual honesty as well as the intellectual development of students” and part of this responsibility means that faculty must investigate cases of potential academic misconduct promptly and thoroughly. Faculty members also have the responsibility of taking appropriate action when academic misconduct occurs. The penalties for academic misconduct include but are not limited to
lowering a grade on an assignment, lowering a course grade, or failing a student for a course. Significant violations of the Code can result in expulsion from the University.

SPEA faculty take their responsibilities seriously and do not tolerate cheating, plagiarism, or any other form of academic misconduct. If you have not done so, you should read about your responsibilities in the IUPUI Code of Student Rights, Responsibilities, and Conduct to ensure that you understand what these terms mean and what penalties can be issued for academic misconduct.

The IUPUI Code of Student Rights, Responsibilities, and Conduct defines four areas of academic misconduct: cheating, fabrication, plagiarism, and interference. The prohibited activities and actions include the following:

1. **Cheating.** A student must not use or attempt to use unauthorized assistance, materials, information, or study aids in any academic exercise, including, but not limited to, the following:
   a. A student must not use external assistance on any "in-class" or "take-home" examination, unless the instructor specifically has authorized external assistance. This prohibition includes, but is not limited to, the use of tutors, books, notes, and calculators.
   b. A student must not use another person as a substitute in the taking of an examination or quiz.
   c. A student must not steal examinations or other course materials.
   d. A student must not allow others to conduct research or to prepare work for him or her without advance authorization from the instructor to whom the work is being submitted. Under this prohibition, a student must not make any unauthorized use of materials obtained from commercial term paper companies or from files of papers prepared by other persons.
   e. A student must not collaborate with others on a particular project and submit a copy of a written report which is represented explicitly or implicitly as the student's individual work.
   f. A student must not use any unauthorized assistance in a laboratory, at a computer terminal, or on field work.
   g. A student must not submit substantial portions of the same academic work for credit or honors more than once without permission of the instructor to whom the work is being submitted.
   h. A student must not alter a grade or score in any way.

2. **Fabrication.** A student must not falsify or invent any information or data in an academic exercise including, but not limited to, records or reports, laboratory results, and citations to the sources of information.

3. **Plagiarism.** A student must not adopt or reproduce ideas, words, or statements of another person without appropriate acknowledgment. A student must give credit to the originality of others and acknowledge an indebtedness whenever he or she does any of the following:
   a. Quotes another person's actual words, either oral or written;
   b. Paraphrases another person's words, either oral or written;
   c. Uses another person's idea, opinion, or theory; or
   d. Borrows facts, statistics, or other illustrative material, unless the information is common knowledge.

4. **Interference.**
   a. A student must not steal, change, destroy, or impede another student's work. Impeding another student's work includes, but is not limited to, the theft, defacement, or mutilation of resources so as to deprive others of the information they contain.
   b. A student must not give or offer a bribe, promise favors, or make threats with the intention of affecting a grade or the evaluation of academic performance.

**Communication between Faculty and Students**
In order to verify the identity of all parties involved, effective September 1, 2004, all email communication from **current** SPEA students to SPEA staff must originate from an Indiana University email account. For email communication with SPEA faculty, **current** SPEA students should refer to course syllabi for instructors’ preferences (Oncourse, Webmail, etc.). This policy applies to **current** students only. Instructions for forwarding your IUPUI email to another account can be found at [http://uits.iu.edu/scripts/ose.cgi?berh.def.help](http://uits.iu.edu/scripts/ose.cgi?berh.def.help).

**Students Needing Support From Counseling and Psychological Services**
SPEA encourages any student who has concerns about their personal welfare to seek assistance with the professionally trained counselors of the IUPUI Counseling and Psychological Services (CAPS). CAPS provides direct professional psychological services, including crisis response, counseling, assessment and referral to all IUPUI students. More information can be found at [http://studentaffairs.iupui.edu/health-wellness/counseling-psychology/index.shtml](http://studentaffairs.iupui.edu/health-wellness/counseling-psychology/index.shtml).

**Students Needing Support From Adaptive Educational Services**
Students needing accommodations because of a disability will need to register with Adaptive Educational Services (AES) and complete the appropriate forms issued by AES before accommodations will be given. The AES office is located in Taylor Hall, UC 100. You can also reach the office by calling 274-3241. Visit [http://aes.iupui.edu/](http://aes.iupui.edu/) for more information.

**Students Called to Active Duty**
SPEA encourages any student who is in the Indiana Military Reserves and is called to active duty to finish his/her coursework if at all possible. Students who cannot complete their courses have the option of withdrawing with 100% fee refund, but this request must be made within one week of being called to active duty. Students who are called to active duty may qualify for an incomplete (provided that all the above criteria have been met). For further information, please see the Office of the Registrar’s website at [http://veterans.iupui.edu/practices/withdrawal.php](http://veterans.iupui.edu/practices/withdrawal.php).

**FLAGS System**
SPEA faculty will be using IU’s FLAGS System (Fostering Learning, Achievement, and Graduation Success) to provide real-time feedback on student performance in the course. Periodically throughout the semester, data on factors such as class attendance, participation, and success with coursework, etc. will be entered with suggestions on ways to improve performance. Students may access this information in the student center: Onestart > Student Services page > Student Center > My Academics and Grades > My Grades.
Administrative Withdrawal (AW)
If this class is utilizing the Administrative Withdrawal (AW) Policy, a student could be withdrawn from the class if they miss more than half of the required class activities within the first 25% of the course. More information can be found in the attendance and/or assessment portion of the syllabus if this policy is being used.

Course Withdrawals
Students who stop attending class without properly withdrawing from the class will receive a grade of F. It is important to withdraw from a course within specified timeframes (see chart below). Note that withdrawals after Week 12 of a regular session or Week 4 of a summer session are rarely granted. **Poor performance in a course is not grounds for a late withdrawal.**

Withdrawal forms will not be processed in the Office of the Registrar after the last day of classes. Any requests for a late withdrawal after the last day of classes must go through the grade appeal process, but each student should remember that in accordance with campus policy, SPEA does not permit a student to withdraw from a course if he/she has completed the course requirements. Grade replacement should be used in this case. See the Office of the Registrar’s website at [http://registrar.iupui.edu/withdraw.html](http://registrar.iupui.edu/withdraw.html) for more information. To withdraw, obtain a withdrawal slip (DROP/ADD Form) from the SPEA Student Services window. Instructions for completing it are given on the form.

<table>
<thead>
<tr>
<th>Withdrawal Deadlines</th>
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<tr>
<td>Course deleted from record, no grade assigned, 100% refund (Advisor signature <strong>IS NOT</strong> required)</td>
<td>Week 1 (last day)</td>
</tr>
<tr>
<td>Withdrawal with automatic grade of W (Advisor signature <strong>IS</strong> required)</td>
<td>Week 2 – Week 7 (regular session)</td>
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<td></td>
<td>Week 2 – Week 3 (summer session)</td>
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<tr>
<td>Withdrawal with grade of W or F (Advisor and instructor signatures <strong>ARE</strong> required)</td>
<td>Week 8 – Week 12 (regular session)</td>
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<td></td>
<td>Week 3 – Week 4 (summer session)</td>
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Incompletes
A grade of incomplete (I) indicates that a ‘substantial portion’ of the work in a course has been satisfactorily but not entirely completed by the student as of the end of the semester. The incomplete can be given to a student facing a hardship such that such that it would be unjust to hold the student to the established time limits for completing the work. To be eligible for the incomplete in a SPEA course, the student’s work must be of passing quality, and the student must have completed 75% of the course requirements. **Poor performance in a course is not grounds for an incomplete.** SPEA follows the campus guidelines, which may be accessed at the Office of the Registrar’s website at [http://registrar.iupui.edu/incomp.html](http://registrar.iupui.edu/incomp.html), in awarding incompletes. Incompletes must be removed within a time period not to exceed one year after the semester in which the student was enrolled in the course. The incomplete will revert to an ‘F’ if the work is not completed within the allotted timeframe established by the instructor.
**Grade Changes**

Under certain circumstances, students can seek grade changes for previously taken courses if they believe that a grade has been calculated or assigned incorrectly. A student who is seeking a grade change must first contact the instructor and ask for the grade change. In the event the instructor does not change the grade, the student can file a Change of Grade Petition with the Registrar’s Office. **In SPEA, a student has 90 days after the conclusion of a course to appeal a grade.** In cases of extenuating circumstances, SPEA may consider petitions filed after this date. SPEA will review the request and make a final decision on a case-by-case basis. The Change of Grade petition form is located at the Office of the Registrar’s website at [http://registrar.iupui.edu/grdfrm.html](http://registrar.iupui.edu/grdfrm.html).

**Final Exam Schedule**

If a final exam is given, it must be held on the day and time set in the final exam schedule. If an instructor has changed the final exam date, the student should first consult with the instructor. Students who have more than three final exams in one day or insufficient time to get from one exam to another should consult with their instructors to resolve these conflicts. If a student is not able to resolve a final exam problem with the instructor, the student may report the problem to the Director of the program. Tests or major writing assignments may not be required during the week before the formal final exam week unless assigned or announced at the beginning of the semester. See the Office of the Registrar’s website at [http://registrar.iupui.edu/final-policy.html](http://registrar.iupui.edu/final-policy.html) for the policy and final exam week schedule.
COURSE INFORMATION
ADMINISTRATIVE LAW AND POLICY IMPLEMENTATION
PA 534 EMPA SUMMER 2012
PROFESSOR PHILLIP J. COOPER

OFFICE HOURS: To Be Discussed in Class
Phone (503) 725-8155
e-mail pcooper@pdx.edu
WWW Site http://web.pdx.edu/~pcooper

TEXTS:
*Phillip Cooper, Public Law and Public Administration, Fourth Edition
(Wadsworth/Thomson, cloth)

*Cooper, Cases on Public Law and Public Administration,
(Wadsworth/Thomson, paper)

You may be asked to access some items via LEXIS/NEXIS using the PSU
Library website as well as other items via the Internet

*Royalties for new copies of these books will be donated to the Hatfield
School. I do not receive any royalties for used books.

GRADING:
Judicial Opinion Paper 35%
Case Memo 10%
Practice Paper 35%
Legal Research Assignment 10%
Informed Class participation 10%
100%

Please note that all assignments are required. Failure to complete or
submit any of them will result in a failing grade for the course.

IMPORTANT DATES:
Legal Research Assignment Due August 18
Case Memo Due September 8
Practice Paper Due September 29
Judicial Opinion Paper Due October 6

You will be given detailed instructions regarding the written assignments later in this
syllabus and in class. Students are expected to participate in class discussions and will be held
responsible for all instructions and materials presented in class whether they are present or not.
The class participation grade is for constructive and informed participation which means that
one shows clear evidence of attention to the reading materials and handouts assigned in the
course and not simply reflection or general commentary. All assignments are required. None
are optional. Failure to submit any of these items will result in a failing grade for the course.
This course proceeds from the assumption that the members of the class have no background in the study of law or politics. *Even so, if you find that you are having difficulty with the material, please contact me for help as soon as possible. Please do not wait until the end of the course if you need help!*

*In accordance with the policy of the Portland State University, and my own wishes to ensure your opportunities for success in this course, any student in this course who has a disability that may prevent him or her from fully demonstrating his or her abilities should take the appropriate steps with the university and contact me personally as soon as possible so that we can discuss accommodations necessary to ensure full participation and facilitate educational opportunity. Be sure to meet with the support people at the Disability Resource Center to ensure that appropriate documentation and processes are put in place to assist both your instructors and you.*

**COMMUNICATIONS**

The dramatic expansion in e-mail, the growing importance and pervasiveness of smart phones, and the increasing range of other personal information management devices have been important and helpful developments in our modern world. However, they have also created a host of communications issues. Please be clear about the following policies as we work together. They have been developed over time and with a great deal of experience.

When writing e-mails, please use normal syntax, proper capitalization and punctuation, and avoid e-speak (the shorthand used by many in blogs, text messages, and tweets). The dangers of communication difficulties on e-mail are already well known and have only been exacerbated by the informal behaviors on social networking sites, text messages, and tweets. Our communication will be formal and professional.

*Avoid controversial e-mail messages.* It you have a difference of opinion, discuss it in person or, if that is not possible, by telephone. Confrontational behavior or harsh or edgy language in e-mails is to be avoided and can engender serious consequences. Edgy is not smart. It is just crude, and crude behavior is unacceptable. There is a tendency these days, and particularly with e-mail, to say things in ways one would not say them in face-to-face conversation and even to use excessively sharp or harsh language. Related to those problems is a tendency to become overly familiar and sometimes simply unprofessional. There is often a sense of a kind of impersonal communication or an assumption of anonymity when people sit down at a computer that seems to lead to a relaxation of inhibitions. This problem seems to have become even worse for those addicted to text-messaging. All of these tendencies lead people who are otherwise very controlled and careful to sit down at the keyboard or pull out a smart phone, dash off intemperate or disrespectful e-mail messages, and hit the send button before they have thought the matter through. E-mail is not anonymous or even secure and text messages are often even less secure. In addition, messages can be forwarded to many people very quickly and records are kept of them in a variety of places, from the recipient’s computer to the backup systems of the Internet Service Provider (ISP). They are legally discoverable and efforts to destroy them to cover one’s tracks are in some circumstances illegal. Anyone with legal training will simply not respond to those kinds of e-mails, and it is not the case that refusing to reply means anything except perhaps that the person on the other end knows better. In any event,
Professionalism and respect are as essential in e-mail as they are anywhere else. One is as responsible for what one says on e-mail as in any other context and, given the troublesome tendencies described above, it is a good idea to avoid reading or sending e-mail when one is excessively fatigued or when feeling upset.

Additionally, in the “e”-era, there is a danger that we assume that everyone is online and ready to respond when we hit the send key. That just is not possible a good deal of the time even with conscientious efforts to be a good communicator. Please be aware that I do not access e-mail from 4 pm on Friday until 9 am on Monday morning. That time is consumed with scholarship, class preparations, and, yes, even some time with my wife. I also do not access e-mail after 5 pm on other days. If you do send e-mails in the evening, please be aware that they will not be read and no response will be provided until the next business day at the earliest. Of course, the fact that one sends an e-mail with a question does not alter the obligation to submit assignments on time, whether the e-mail is answered or not.

I will do my best to communicate with you in a timely manner, but please understand that I cannot be on e-mail and the telephone all day even when I am in the office. I cannot see students, grade papers, complete class preparations, accomplish university administrative requirements, do scholarship, and engage in community service while on e-mail or the telephone.

Finally, do not assume that I have received an e-mail because you sent one. There are numerous system problems in software and in Internet Service Providers (ISPs) that can mean that e-mails do not reach their intended destination or may not do so promptly. Some e-mail systems and filters have been known to strip attachments from messages that do get through. I will acknowledge e-mail when I receive it. If I have not responded to a message in a reasonable period of time, feel free to be in touch again, just to see whether your first message got lost along the way. By the way, it is useful to be sure to be a subject in the subject line and some kind of message, however brief, in the message block. If either of these is blank, security software often interprets the message as a threat or spam and blocks it.

Important information in this course will be distributed via e-mail. It is your responsibility to monitor your university e-mail account regularly to obtain these materials. If you wish to use a different e-mail address from the university account, it is your responsibility to update your information in the university system to reflect your current e-mail address. The program, instructors, and the university expect to be able to communicate important information to you via the address that is in your university information listing. So please take care to manage that information so that you get all of the e-mail that needs to find its way to you for this course and for university purposes generally. If for some reason you do not receive e-mail messages that I mention in class, it is your responsibility to inform me promptly so that we can correct whatever communications difficulties exist. By the way, if you change your e-mail address, please also make sure to update your address on the program listserv as well.

The use of cell phones and text messaging devices is not permitted in class. Please make sure they are turned off before class begins. These devices are disruptive to the class and disrespectful to other students as well as to the professor. Some people seem to think that
if they quietly look down to their phones, that their use is acceptable. It is not. As an instructor, let me assure that others in the class and I know what is happening and regard it as the same behaviour as using cell phones or pagers. It means that the person involved is not engaged in the class and not paying attention either to his or her colleagues or to the professor. It is, in simple terms, rude and disrespectful. If you must have a pager because you are on call for emergencies, please set it to vibrate, rather than ring. If you must make a cell phone call, please do so during breaks for before or after class. The same applies to checking messages.

While it is certainly acceptable to use laptop or tablet computers to take notes in class, it should go without saying that accessing e-mail or visiting websites in class, except during breaks is just as unacceptable as the use of cell phones or text messaging devices and just as discourteous and distracting to your colleagues. You might be surprised at how easy it is for an instructor to tell that this kind of behavior is taking place. If, in the opinion of the instructor someone is not paying attention to their colleagues’ contributions as well as to the instructor, that will be taken into consideration in one’s participation grade.

CLASS CONDUCT

We will be dealing with a host of controversial subjects throughout the term. It is important that we do so professionally and courteously with respect for everyone involved. Please understand that, like you, others in the class frequently come after a long work week and carrying a full load of personal and professional responsibilities. Please take a deep breath, settle back, and enjoy the discussions, but be alert to your classmates and engage with them as you expect that they will work with you. If there are difficulties, please see me, so that we may resolve any problems and prevent them from getting in the way of the work we have to do together.

Also, you are not authorized to post any materials from this class on a website and that includes social networking sites. We use a closed e-mail list to distribute materials in the course, but they are for the use of those enrolled in the course. All rights to all materials are reserved and may not be disseminated in any form without the instructor’s permission.

It is also not permissible to record classes. We cannot have useful discussions if those in the room must be concerned that what they say will be recorded. If you must miss class, see me and we can work through what you missed.

As you know if you have been taking courses on the intensive quarter system, classes go by rapidly. While it is true that professional travel or other clear justifiable reasons can create challenges, missing classes in this format can make it difficult to complete the work. (See the discussion of Incompletes later in the syllabus.)

This course, like others, is designed to have you acquire a significant portion of the material through your readings, but that is not enough by itself, particularly given the fact that there are new developments constantly. Neither is it an online class. By the same token, this is not a class in which students can receive acceptable grades simply by attending class. We use
class time to work through concepts, processes, issues, and new developments that go beyond the reading itself. As you know, these classes go by quickly and there is never enough time to deal with everything that you’ve read in class. I will not generally take class time to go over the reading, though I will certainly answer questions that you have and may highlight certain aspects of the assigned readings. Evidence that you have read those assignments carefully will, however, be part of the grading of your work and assignments are designed to demonstrate that work.

SUBMITTING ASSIGNMENTS

All work done for this course is to be the product of a student’s own effort with proper academic attribution to sources. Any assignment submitted in this course that is not fully supported by appropriate references will not receive a passing grade. The assignments in this course are not group exercises, though such group activities are valuable and are used in many other seminars or courses in the EMPA program, the purposes of the assignments in this course are somewhat different.

In addition to these points, there is one other consideration to keep in mind. There is a tendency among some students to get together in person or electronically to discuss an assignment and that often leads to multiple and often inaccurate reinterpretations of the assignments. That process generally leads to confusion and needless anxiety on the part of those who thought they knew what they were doing, but are confused by cross-talk. It is also troublesome to professors who work diligently to provide clear and carefully developed assignments. While sharing ideas about the subject matter of a course can be a very useful activity, attempting to turn individual assignments into group discussion is not. Please direct any questions you have about an assignment to the instructor. If there is a problem, we can not only help you, but share the information with everyone directly and in a timely fashion.

Please make a backup copy of your papers before you submit them. I rarely lose a paper, but accidents and system problems do happen! Please submit your papers as e-mail attachments.

Please use standard fonts and margins in preparation of any course assignments. All work is to be double-spaced with normal margins (1 inch), indented paragraphs, standard fonts (12 point type), and justified left (not full justified). Do not use such techniques as modified margins, double-double spacing, extra spaces after paragraphs or before or after headings, blank portions of pages, extra large fonts, or unnecessary computer graphics. These devices do not make work appear more impressive. On the contrary, they often convey an unprofessional quality and suggest that the work lacks substance and seriousness. Concentrate on the substance. Also, as you know, since documents are often shared in the work setting, unnecessary formatting interferes with your colleagues’ or supervisor’s efforts to respond to your document or add changes. It also makes it difficult for me to type comments on your papers. In short do not use templates and strip out unnecessary formatting.

All of the above also means that you should transmit a document so that there will not be compatibility problems. I can handle MSWord or WordPerfect documents. If you are using anything else, save the document in Word form and then transmit it. Also, please do not send me
links to Google docs or the like. Download the document into Word form and send it that way. Please do not use .pdfs. They take up a great deal of memory and I cannot type comments on them.

**When you send papers via e-mail, please check to make sure you get a confirming message from me, indicating that I was able to read and download the file.** Sometimes there are difficulties with software or system compatibility, though I can access both WordPerfect and MS Word documents. Frequently, I will receive a large number of such e-mail attachments on the day assignments are due, so please allow until noon the following day to receive a confirmation. If you have not heard from me by then, it is a good idea to check.

I have one other request and I apologize in advance for preaching to the choir, as the expression goes. **Please keep your anti-virus and anti-spyware protection up to date and use security-sensitive computing practices.** While I do my best to keep my machines clean, you can help all of us and yourself by observing a few simple cautions. First, download updates for your anti-virus software regularly. Second, keep current on patches and other operating system updates. That includes your Internet browser. Browsers have become a favorite hacker target since many users do not think that it is important to install the latest updates for them. (Some people are under the mistaken impression that their antivirus suite takes care of software updates and patches for them. It does not.) Third, do not open attachments unless you are expecting them and they are from people you know. Also, be aware that one of the most common vehicles for mal-ware these days comes in e-greeting cards or other types of shared materials that come as executable files. Fourth, do not send information in email or over the Internet that would make it easy for anyone to take control of your computer or steal your identity. **I will never ask you for your Social Security number or your Student I.D. number via e-mail and please do not use either one when you submit any materials in the course.** (I make this point because some students have a habit of including such information with their papers.) If you receive a request for sensitive information from anyone, pick up the phone and check its authenticity. Then I recommend that you deliver the appropriate materials only to authorized people in hard copy.

**ACCESSING ASSIGNMENTS ON THE INTERNET**

Most students are accustomed to accessing reading assignments or research materials on the Internet or through university library information systems. Further, one of your first assignment will familiarize you (or for some people, reacquaint you) with administrative law materials on the Internet and how to locate them. Even so, the following notes might be helpful.

From time-to-time I will suggest that you take a look at materials I have posted on my website. Just go to [http://web.pdx.edu/~pcooper](http://web.pdx.edu/~pcooper) and click on the relevant page. If you find that there is a difficulty with a link, please let me know. As you know, various Internet sites change URLs for various reasons. I maintain my own site, so I can usually find and fix the problem quickly.

You will be asked to access some judicial opinions or other items using the Internet in this course. Some of these materials are available via Lexis/Nexis which can be accessed
through the university library site. As most of you know from your other courses, when you attempt to log on to the Lexis/Nexis Academic Universe page from the library home page, you will be asked for your university log-on name and password. Your legal research techniques assignment will explain in detail how to use Lexis/Nexis to obtain particular types of information.

PUBLIC LAW AND PUBLIC ADMINISTRATION

Despite all of the criticism of bureaucracy, pressures for deregulation, and expanding emphasis on contracting out, we continue to live in a society in which administrative agencies play central roles in nearly all aspects of our lives. As citizens of that society we are consumers of administrative decisions. As participants in the marketplace, business activity is shaped by administrative agencies at all levels, including, in this day and time, international bodies. As concerned citizens and participants in, or employees of, government we are, to one degree or another, producers of administrative decisions.

Even with the increased use of policy designs that emphasize economic incentives and market dynamics, these administrative agencies are still central to policy implementation as well playing a key role in reshaping existing policies and providing feedback that influence new policy development in the future. In fact, the increase in the use of contemporary governance models that involve not only a particular government agencies, but several different types of government units – from cities and counties to state agencies, to tribal governments, to units of state government and sometimes multiple states, as well as federal agencies – along with nonprofit organizations and for-profit firms in the making and implementation of important policy decisions has produced new and very complex questions of law as well as interesting management challenges.

We also live in a society which purports to rest for its legitimacy upon the concept of the rule and supremacy of law. Legal rights and duties, written constitutions at the national and state levels to protect them, and tribunals to decide controversies serve as guarantees of peaceful resolution of conflict, provide means for necessary change and flexibility in the social fabric, and protect the liberty and property of individuals and minority groups from the demands of the majority. On a slightly less abstract level, we are, as Alexis de Tocqueville observed, a century and a half ago, a litigious people.

Our beliefs and our circumstances have combined to produce an environment that has many complex legal elements. Contemporary efforts aimed at changing the nature and function of administrative agencies and the way they are managed have increased, not decreased, that complexity. Public and private managers, nonprofit executives, and ordinary citizens must be aware of these legal concerns. As consumers of administration, our daily lives are heavily conditioned by courts, quasi-courts, laws, regulations, contracts, lawyers, and judges. It is the purpose of this course to investigate some of the major actors and themes that make up the legal environment of public administration from the perspective of producers and consumers of administrative action.
Learning Objective

By the end of the term, students should be able to identify and discuss the major legal concepts presented in class, frame arguments on administrative law matters within the accepted usages and procedures of the field, understand some of the relationships among courts, agencies, the legislature, and other actors in the policy process, and be literate in the law to some elementary degree as demonstrated by an example of basic legal research ability.

In addition to these more specific subject specific areas, this course should help you to: identify and apply legal and political theories and frameworks to the practice of public service leadership, management and policy; conceptualize, analyze, and develop creative and collaborative responses to important issues in public service leadership, management and policy; assess challenges and explore mechanisms to advance cross-sectoral and inter-jurisdictional cooperation in public programs and services; develop and practice analytic and written communication skills as a professional; and think critically and reason carefully about important issues in public policy and public service leadership, management, and policy.
Please start the quarter by remembering just how quickly the term passes. The wise course is to plan your reading and your writing assignments ahead and do not try to work from session to session.

While I will do my best to get your work back to you as quickly as I can – consistent with the careful attention that I give to each paper – you may not have your previous submissions back in hand before it is necessary for you to work on the next piece. Therefore, it is very important that you speak with me as soon as possible with any questions that you might have as you move along. Also, this subject matter involves cumulative learning, which means that if you do not understand critical concepts as the course progresses, the challenge will become greater as we move further along. Again, please be in touch sooner rather than later.

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<tr>
<th>DATE</th>
<th>TOPIC</th>
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<tr>
<td>August 18</td>
<td>FOUNDATIONS OF ADMINISTRATIVE JUSTICE</td>
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<tr>
<td>Session 1</td>
<td>Part I Introduction: Defining the Field</td>
<td>The Law in Books</td>
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<td>Part II The Law in Action</td>
<td>PLPA, Ch. 1-3 and App. 1 (This is appendix 1 of the Public Law and Public Administration text.)</td>
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<td>Part III The Development of Administrative Justice</td>
<td>PLPA, Ch. 4 Challenges of Policy Implementation</td>
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<td>Also, please read PLPA Chapter 5. We will not get through all of this material for this on-campus session, but your next set of reading assignments is extensive and you will not want to wait to get into the material.</td>
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<td>September 8</td>
<td>THE BLACK LETTER LAW OF PUBLIC ADMINISTRATION</td>
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<td>Session 2</td>
<td>Part I Rules, Ordinances, &amp; Statutes</td>
<td>PLPA, Ch. 5 (cont’d)</td>
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<td>Food and Drug Administration v. Brown &amp;</td>
<td>Cases on PLPA** (Handout)</td>
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<td>Williamson Tobacco Corp. Corp.</td>
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<td>Massachusetts v. EPA</td>
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<td>Part II Adjudication</td>
<td>PLPA, Ch. 6</td>
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<td>Mathews v. Eldridge</td>
<td>Cases on PLPA</td>
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Cleveland Board of Education v. Loudermill
Gilbert v. Homar

CASE MEMO DUE

Part III  Judicial Review      PLPA, Ch. 7
Natural Resources Defense Council v. NRC Cases on PLPA
Vermont Yankee Nuclear Power Corp. v. NRDC
NOTE: The previous two opinions are from the same case, but from two
different levels of courts. The discussion among the judges is important.
Motor Vehicle Manufacturers v. State Farm Mutual
Chevron USA v. Natural Resources Defense Council

September 22
Session 3     THE LAW AND POLITICS OF ADMINISTRATION

Part I   The Informal Process & Administrative Discretion PLPA, Ch. 8, 9
Pay particular attention to the discussion of the ADR Act and the problems
presented by ADR actions discussed in the text.

Part II  Law and Public Employees      PLPA, Ch.11,12
Waters v. Churchill Cases on PLPA
Garcetti v. Ceballos (Handout)
O’Connor v. Ortega Cases on PLPA

Part III The Challenge of Administrative PLPA, Ch. 13
Responsibility
Richardson v. McKnight Cases on PLPA
Filarsky v. Delia (Handout)

SATURDAY SEPTEMBER 29, 2012 PRACTICE PAPER DUE

SATURDAY OCTOBER 6, 2012 JUDICIAL OPINION PAPER DUE

*PLPA  Public Law and Public Administration, Fourth Edition
**Cases on PLPA Cases on Public Law and Public Administration
You are asked to prepare four written assignments in this course. All assignments are required. None are optional. Failure to submit any of these items will result in a failing grade for the course.

1. **Legal Research Techniques Exercise.** There are a number of types of tools and techniques with which public managers need to become proficient. They become more important as one advances in a public service career. This assignment simply asks you to look up some sources and provide answers to a series of questions about those sources.

2. **Case Memo** – This assignment asks you to provide a memorandum for a superior that analyzes a case that was decided by the U.S. Supreme Court. Further details will be provided on the assignment and the case itself.

3. **Judicial Opinion** – You will be assigned to write an opinion in a real case brought before the United States Supreme Court. You will be able to see the real world response later. Details of this assignment will be provided to you in class later. *(NOTE: More information will be provided on this assignment in terms of the case that we will address and when and where briefs will be available. You will not be doing research about this and will want to get into the material in the course before you start working on it. So don’t be concerned at this point.)*

   The primary purposes of this exercise are three: (1) to analyze a real controversy of major importance to public managers; (2) to develop skills in the preparation of a fully developed set of arguments on both sides of a case; and (3) to develop skills in the use of precedents and other legal authorities.

4. **Practice Paper** – Toward the end of the course, you will be asked to prepare a memorandum in response to a situation in an organization which will provide an opportunity to apply what you have learned about administrative law principles and processes from the assigned readings and class sessions in a coherent fashion in an applied setting. The emphasis here will be on the readings, but also with attention to class lectures.

**Grading Criteria**

1. Please be aware that the **first and most important criterion is that the work submitted meets the requirements of the assignment as presented.** Course assignments are carefully designed to provide specific learning experiences and are integrated with classroom discussions and course readings to present an overall course design.

2. **All work submitted in the course will be required to be fully supported by complete, specific, and appropriate citations to proper sources. Any paper submitted that is not fully documented, using complete, precise, and appropriate citations will not receive a passing grade.** A handout will be provided in class which explains the techniques for and various uses of proper references, in addition to the obvious obligations for proper academic attribution of quotes or ideas taken from other sources. On this last point, see the statement on proper academic attribution in this syllabus. **Please indicate on your assignments the style guide you are using.**

3. The quality of writing is a significant factor in the evaluation of all work submitted in the course, just as it is the professional arena (whether anyone involved in the workplace says so or
A handout will be provided on scholarly and professional writing. The standards that the handout outlines will be used in grading assignments.

NOTE: All assignments in this course come with a page limit. There are several reasons for this and they will be explained in class. However, you should know that one of the reasons is to encourage you to organize carefully and write clearly and succinctly. That said, if you find that you are preparing to submit a paper that is significantly shorter than the page limit, that is probably a good indication that you have underestimated the assignment. You have not been allowed more page space than is needed to accomplish the task presented to you.

Incomplete Grades

The grade of Incomplete is not a choice that a student makes. It is a grade that is recorded if the instructor determines that it is warranted by the circumstances under college and universities policies.

Students may elect to withdraw from a course under university rules which are, in fact, quite liberal. Efforts to withdraw after the date indicated in the schedule of classes require approval of a petition by the graduate office. That determination is not controlled by the course instructor.

It is not acceptable for a student who is having trouble in the course to come to the professor at or near the end of the quarter and simply decide that he or she wishes to take the course over, without a grade in the present term, because he or she is not doing or has not done adequate work to that point. If a student does not submit the assignments when they are due, but instead sends an e-mailing indicating that he or she wants an incomplete, no such grade will be entered and a failing grade will be recorded. Such an action is unfair to other students and to the instructor. If there is a proper reason for an incomplete, the student must be in touch with the instructor to explain the basis for the request, receive an approval for the incomplete, and reach an agreement on how the matter will be resolved before any relevant due dates. Any other action will result in a failing grade for the course.

Please note that Incomplete grades are not desirable, since they become a kind of albatross around the neck of students carrying them as well as for the faculty members who must get them graded while meeting other current demands. That is especially true in the EMPA program where you move from one course to the next so rapidly, with little time to catch up with previous work. You should also know that some forms of financial aid require a certain amount of progress toward the degree per term and incomplete grades may engender difficulties. It is your responsibility to be aware of any such requirements and to take the steps necessary to avoid problems.

Also, please be aware that, in any case, Incomplete grades must be cleared within one year of the term in which they were taken. After that, students can complete the work only after successfully petitioning the Graduate Council, and that body takes a strict view of the grounds for exceeding university deadlines.
STATEMENT ON ACADEMIC ATTRIBUTION

Naturally, students are expected to do their own work as provided by PSU policy. The vast majority do precisely that. However, because some students either do not understand the accepted rules of professional practice or because it is sometimes necessary to respond to a problem, this statement is provided. This way, everyone understands the concepts and rules.

Most students who have difficulties do not intend any dishonest action. They simply do not understand precisely those situations in which attribution of sources is required. In fact, for professionals working in public organizations, documents are often group projects rather than individually authored materials. A return to an academic setting is a bit different and requires some attention to the basic guidelines. Consider the following examples of unacceptable borrowing prepared by the Georgia State University Department of History based upon Burkhardt’s Civilization and Renaissance in Italy.¹

Text: “We must insist upon it as one of the chief propositions of this book, that it was not the revival of antiquity alone, but its union with the genius of the Italian people, which achieved the conquest of the western world.”

Unacceptable actions²:
(a) Author's words [underlined] without quotations marks and footnote.

The Renaissance resulted not from the revival of antiquity alone, but from its union with the genius of the Italian people.

(b) Author’s words without quotation marks and with footnote:

The Renaissance resulted not from the revival of antiquity alone, but from its union with the genius of the Italian people. ¹/

(c) Use of an idea or interpretation originated by the author without credit.

The Renaissance resulted from the combination of classical revival and Italian national Character.

Four of the most often encountered problems are covered by the following general guidelines.


²The examples of borrowing are taken from Department of History Memorandum, 11/12/74, Georgia State University
1. A footnote at the end of a paragraph which is primarily or completely borrowed is not adequate attribution. When you borrow someone else's words, you must use both quotation marks and a reference note.

2. The act of rearranging words from someone else's prose does not change the fact that it is not the student's own work.

3. **CAUTION!** It is not acceptable to offer a quotation or a reference to a particular point and then provide just a general citation to a whole book or entire article. A general reference without page numbers is only acceptable when one is indicating sources that speak about a topic in general terms or when one refers to a point that is the overall thesis of a book or article. In all other cases, a complete citation is required, which includes page numbers. To do otherwise is to tell your readers that something is in a report, a book, or an article somewhere and it is their problem to find it. They will simply reject the reference and see your action as an indication that you do not understand the proper use of sources which will, in turn, undermine the credibility of your work.

4. A paper which consists of numerous quotations strung together does not qualify as one's own work. The fact that there are quotation marks and footnotes is not a substitute for the requirement that a piece of work turned in on an assignment is to be basically a product of the student's own mind.

These are some general suggestions to avoid the most common mistakes. Other examples of unacceptable practices are provided in the handout on the use of sources that will be provided to you. If you are not sure, ask!

Obviously, no one wants to run into a problem of plagiarism or any other type of academic integrity issue. Plagiarism is the “act of appropriating the literary composition of another, or parts or passages of his writings, or the ideas or language of the same and passing them off as the product of one's own mind.” If a student quotes someone, he or she is expected to use quotation marks. Paraphrased or borrowed ideas are to be identified by footnotes. Students with questions concerning the proper format for citations should consult a competent style manual.

Plagiarism and other forms of academic dishonesty (such as abuses of test-taking procedures) will result in the grade of “F” for the piece of work involved and may, if in the judgment of the instructor the particular case warrants it, result in the grade of “F” for the course and referral for university action.

The best protection against such problems is to start written assignments early and avoid

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3 O'Rourke v. RKO Radio Pictures, 44 F.Supp. 480, 482 (DC Mass. 1942).

4 The instructor must make the decision in each case as to the existence of borrowing.
that last minute pressure. The attempt to do the work the night before the assignment is due leads to a lack of time for thoughtful composition, writer’s block, lost references, and the temptation to use someone else’s work improperly.
STUDENT INFORMATION

NAME: _________________________________________________________

PHONE: _______________________________________________________

E-MAIL ADDRESS: ____________________________________________
PLEASE PRINT CLEARLY AND CAREFULLY SO THAT I WILL NOT MISS ANY PART OF THE ADDRESS

PROGRAM: MPA, MA, MPA-HA, MPH, Ph.D. OTHER

   Please note also your specialization if you have selected one.

________________________________________________________________

PREVIOUS LAW RELATED COURSES, IF ANY: _________________________

________________________________________________________________

PREVIOUS LEGAL EXPERIENCE, IF ANY: ____________________________

________________________________________________________________

THANK YOU FOR YOUR COOPERATION.
Note from David Hoffman about this version of the syllabus: “I am going to make a few changes this term. The most important is that I am going to increase the weight toward the final grade assigned to the blog postings. Last term, because I was not yet very confident in the process, the postings only counted as part of a 10% participation grade. Given the amount of work that the best students put into posting, however, I feel this was too low. Blog posts will now have a stand-alone weight of at least 10 percent, and maybe more.”

**PAF 9103: Communication in Public Settings**

**Course Policies and Information**

**Professor:** Dr. David C. Hoffman  
**Office:** 917b 135 East 22nd St.  
**Office Hours:** 3-5 Tuesday, 12-2 Thursday, 12-2 Friday, and by appointment.

**Phone:** (646) 660-6783  
**E-mail:** David.Hoffman@baruch.cuny.edu

**Course Goals:** This class focuses on the kinds of communication that take place when people come together to make a decision, engaging in a process that has traditionally been called deliberation. We will seek to achieve three broad objectives: 1) We will seek to understand the norms, rules, and procedures that give deliberating groups the best chance of arriving at good decisions in a variety of contexts, from informal discussion among co-workers, to the debates of the US Congress. We will approach the subject both by studying academic scholarship and research on deliberation, and through the direct experience of various form of deliberation. 2) The course also aims to equip you, the student, with the conceptual tools of critical thinking that will further your engagement in public deliberation. 3) Finally, the course will provide opportunities practical experience in constructing and delivering various forms of public communication, and meaningful feedback that can be used to improve performance.

**This is a “Hybrid” Class:** 20-30% of the work in this class will be completed online by means of content delivered electronically, online discussion, and online collaboration. Anyone with internet access should be able to participate fully. Because some of the class is online, we will spend less time meeting in the class room. Each class will be approximately two hours long, rather than three hours long.

**Blog Posting Policy:** All posts requiring a reply from your classmates before class are due **two days prior** to class, although earlier posting is encouraged. All replies, and all post not requiring replies, are due **by the beginning of the class session** for which they have been assigned. Post should be long enough to address the prompts fully. I would expect most to be in the range of 200 to 300 words. Keep the tone of the posts friendly. Say what you have to say, but **be respectful** of the feelings and views of others.
**Group Work:** You will be working in groups to complete some of the assignments. Although the groups themselves will decide how to divide responsibilities among their members, I expect students to do their utmost to duly carry out the responsibilities they have agreed to. *Part of your participation grade in class may be determined by feedback about your performance from your fellow group members.*

**Class Texts:** *Political Communication and Deliberation*, John Gastil  
*Political Writing: A Guide to Essentials*, Adam Garfinkle  
*Cite Right, Second Edition*, Charles Lipson

These texts are available at the Baruch campus bookstore. These and other required readings will be available through Blackboard.

**Attendance:** There is a strict attendance policy. Attendance will be taken through your signing of an attendance sheet. You are not officially in class until you sign the sheet, so don’t forget to sign it. Every unexcused absence may result in the lowering of your final grade. Submit excuses to me before you miss class. You may do so via phone or email. I do not normally return phone calls only to confirm that I received your excuse. E-mail me if you need a response.

**Assignments:** All assignments must be typed to be accepted as complete unless otherwise noted. *You are responsible for keeping an electronic copy of all your work at all times.*

**Writing:** As this is a course that aims to improve written communication, spelling, grammar, organization and diction are all factors in the grading of written assignments.

**Revision:** Most written work handed in on time in good faith can be revised for a better grade.

**Conduct:** DO say what you have to say. DO be respectful of other people. DON’T plagiarize or cheat. See [www.baruch.cuny.edu/academic/academic_honesty.html](http://www.baruch.cuny.edu/academic/academic_honesty.html) for Baruch College’s official policy on academic honesty. Cheating or plagiarism may result failure of the assignment or the course.

**Additional Resources:** If you have any disability that requires some modification of the class, please let me know and that modification will be made.

**List of Grades and Their Weights toward the Final Grade**

<table>
<thead>
<tr>
<th>Policy Options Presentation (Group or Individual Grade)</th>
<th>20%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Response Panel Decision (Group Grade)</td>
<td>10%</td>
</tr>
<tr>
<td>Policy Memorandum (Group or Individual Grade)</td>
<td>20%</td>
</tr>
<tr>
<td>Annotated Bibliography (Individual Grade)</td>
<td>10%</td>
</tr>
<tr>
<td>Webpage (Group or Individual Grade)</td>
<td>10%</td>
</tr>
<tr>
<td>Comprehensive Final (Individual Grade)</td>
<td>20%</td>
</tr>
</tbody>
</table>
Class Schedule

Only the major assignments and readings are listed. For a full list of all assignments, including blog postings, video and website review assignments, click the Topics in the center column.

### August

<table>
<thead>
<tr>
<th>Dates</th>
<th>Calendar Notes</th>
<th>Topics (with Links to Descriptions and Assignment Details)</th>
<th>Readings</th>
<th>Major Assignments (Click Topics Link for Full Details)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Friday the 29th</td>
<td>Class Meets</td>
<td>Introduction to Communication in Public Settings</td>
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<td></td>
</tr>
</tbody>
</table>

### September

<table>
<thead>
<tr>
<th>Dates</th>
<th>Calendar Notes</th>
<th>Topics (with Links to Descriptions and Assignment Details)</th>
<th>Readings</th>
<th>Major Assignments (Click Topics Link for Full Details)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Friday the 5th</td>
<td>Class Meets</td>
<td>What is Good Deliberation?</td>
<td>Gastil, “Introduction,” Chapters 1&amp;2</td>
<td>Watch 12 Angry Men; Comment on @ the Agora Postings</td>
</tr>
<tr>
<td>Friday the 19th</td>
<td>Class Meets</td>
<td>Deliberation and Political Writing</td>
<td>Garfinkle, Chapters 1-3; Orwell, “Politics of the English Language”</td>
<td>Comment on Problem Memos; Working Groups Formed (if applicable)</td>
</tr>
<tr>
<td>Tuesday the 23rd</td>
<td>Class Meets; College Follow a Friday Schedule</td>
<td>Deliberation and Reasoning—Ideals &amp; Frameworks</td>
<td>Hoffman, “Deliberative Argumentation”; Fairbanks, “Policy”</td>
<td></td>
</tr>
<tr>
<td>Friday the 26th</td>
<td>No Classes Scheduled</td>
<td></td>
<td></td>
<td></td>
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</tbody>
</table>
# October

<table>
<thead>
<tr>
<th>Dates</th>
<th>Calendar Notes</th>
<th>Topics (with Links to Descriptions and Assignment Details)</th>
<th>Readings</th>
<th>Major Assignments (Click Topics Links for Full Details)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Friday the 3rd</td>
<td>No Classes Scheduled</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Friday the 24th</td>
<td>Class Meets</td>
<td>Deliberation at Public Meetings</td>
<td>Gastil, Chapter 7</td>
<td>Presentations and Discussions</td>
</tr>
<tr>
<td>Friday the 31st</td>
<td>Class Meets</td>
<td>Presentations—no additional topics</td>
<td></td>
<td>Presentations and Discussions</td>
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</tbody>
</table>

# November

<table>
<thead>
<tr>
<th>Dates</th>
<th>Calendar Notes</th>
<th>Presentations—no additional topics</th>
<th>Presentations and Discussions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Friday the 7th</td>
<td>Class Meets</td>
<td>Presentations—no additional topics</td>
<td>Presentations and Discussions</td>
</tr>
<tr>
<td>Friday the 14th</td>
<td>Class Meets</td>
<td>Deliberation in Organizations</td>
<td>Graber, “Foundations for Sound Decisions”; Spee and Jarzabkowski, “Strategic Planning as a Communicative Process”</td>
</tr>
<tr>
<td>Friday the 21st</td>
<td>Class Does Not Meet, but Online Assignments are Due</td>
<td>Deliberation and Mass Media</td>
<td>Gastil, Chapter 3; Berman &amp; Murphy, Approaching Democracy, “The Media”; Carpini, “News from Somewhere: Journalistic Frames and the Debate over Public Journalism.”</td>
</tr>
<tr>
<td>Friday the 28th</td>
<td>No Class: Thanksgiving</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Dates</td>
<td>Calendar Notes</td>
<td>Topics (with Links to Descriptions and Assignment Details)</td>
<td>Readings</td>
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<tr>
<td>Friday the 5th</td>
<td>Class Meets</td>
<td><strong>Deliberation and Framing</strong></td>
<td>Callaghan &amp; Schnell, “Introduction” to <em>Framing American Politics</em>; Kinder and Nelson, “Democratic Debate and Real Opinions”; Wise &amp; Brewer, “Competing Frames for a Public Health Issue”; Hoffman, “Food for Thought About Framing”</td>
</tr>
<tr>
<td>Friday the 12th</td>
<td>Class Meets</td>
<td><strong>Deliberation and the Internet</strong></td>
<td>Sunstein, <em>Republic.com 2.0</em>, Chapters 1&amp;2; Iyengar &amp; Hahn, “Red Media, Blue Media: Evidence of Ideological Selectivity in Media Use,” Gentzkow and Shapiro, “Ideological Segregation Online and Offline”</td>
</tr>
</tbody>
</table>
While public morality thus in part reflects, incorporates, and is influenced by private moralities, in another respect it is sharply distinguished from, and in slight or greater conflict with, private values. The morality of democratic government in its administrative aspects turns first of all, then, on orientation to the uniquely public interest.

Paul Appleby

Simple corruption in government...represents the stuff of popular scandals in the modern state, but it is presumptuous to think that this represents the full range of ethical disorders to which the state is susceptible...Every political order contains, as a necessary principle of its own integrity and significance, a systematic ethical view...which consists of the system of public authority that defines right and wrong in the realm of politics.

William J. Meyer

AIM AND PURPOSE OF THE COURSE

Judging right from wrong in political and administrative life isn't always an easy task; but is it any more difficult than judging right from wrong in our private affairs? For example, when is it appropriate to take a loved one off life support systems? Is it ok to tell a 3 year-old that there is a Santa Claus or tooth fairy? How is this different than withholding information from your parent or your six-year-old daughter that they have only six months to live? And how is this different still than withholding information from the citizens? All of these examples illustrate the difficulty of drawing lines between "acceptable" and "unacceptable" lies. In our private lives most of us accept some version of the notion of "white lies" - the telling of stories or withholding information
because it is seen as serving a larger good without corrupting our souls or the souls of those who are the object of our "white lies".

To what extent do these problems of making moral judgments in our private lives find their parallel in political life? For example, is it Ok to tell a band of terrorists holding hostages that if they give up, they will be put on a plane and sent to a country of their choice (without telling them that this applies only to those judged innocent by a jury)? When do one's personal flaws and failings as an individual become relevant for judging their worthiness to hold a position of political trust and leadership?

On first glance, we are all inclined to use our personal standards of ethics to judge the acts of public officials, expecting perhaps a somewhat higher level of integrity and trust than is applied to non-public persons. But Meyer and Appleby argue that we are wrong in failing to distinguish public from private morality. Can this be true? Can we afford to let it be true?

This course on administrative ethics attempts to steer a successful passage between the rock of Scylla and the whirlpool of Charybdis - a world where right is defended by the interests of the stronger and a world ruled by ethical relativism. This is difficult, since all of us have been hardened by the world of adulthood, organizations and politics. But, to paraphrase one of the great English poets, hoods do not a prison make, nor iron bars a cage. Even though we may always find ourselves precariously teetering between a Hobbesian world that is poor, nasty, brutish and short, on the one hand, and the Charybdian whirlpool of ethical relativism, on the other, we do not need to succumb. Our success in steering a successful course between nihilism and relativism depends upon three conditions - the character of the students, the nature of the course material, and the choice of pedagogy.

Students - This course is not designed for those who are mad dogs, intemperate philistines, or jaded upstarts. I assume at the outset that all course participants are decent and take seriously their responsibility as agents of the public trust. Without such assumptions, we all would despair at the possibility of doing anything useful in a thirty hour course on administrative ethics. I take seriously Aristotle's observation that being ethical is not the same as thinking about ethics. The former consists of the habit of right action, which means that we do not acquire ethics quite in the same way as we "get religion", come down with colds, or contact various social diseases. Starting with the assumption that we are all basically decent with decent opinions about our work means that we can concentrate on the task of focusing our decency on the discovery of standards and criteria appropriate in guiding our judgment as public servants. Here the choice of material and the goals it is intended to serve become critical.

Course Material and Purposes - The course is designed with two major premises in mind:

a) The problem of administrative ethics is co-equal with the existence of discretion. Wherever and whenever administrative discretion exists, we have a problem of discovering appropriate standards to guide its exercise.
b) At its best public discourse ought to be informed by the fundamental values underlying the American regime. This course is thus designed to impress upon practicing administrators that they are stewards of the basic democratic values and processes integral to the American system of democratic governance. Through the exercise of their administrative discretion, career administrators play a major role in defining what democratic governance is and means in the daily lives of the citizens it serves. To successfully perform their stewardship role, administrators need to be made aware of the major values of the American political system. The course is organized around the proposition that the best friends of the American regime are those who are its sympathetic critics.

1. How Do We Know a Problem of Administrative Ethics When We See One?

In order for one to take administrative ethics seriously, three conditions are necessary. First we must be able to separate the grounds of our personal judgment as human beings from the grounds of our public judgment as citizens. In short, we need to be able to take seriously the difference between public and private morality. Having developed the capacity to make such a distinction, we must then be able to see clearly the rough outlines of the kind of public morality that gives shape and character to the American regime. Finally, as public and nonprofit administrators having an eye clearly fixed on the kind of public morality undergirding the American regime, we need to discover how the ethical principles guiding the discretionary judgment of public administrators might differ from the ethical principles of other public officials like elected officials and judges holding their terms during good behavior. In short, how should administrators approach the public interest, which may set them apart from the way we expect politicians and judges to use their discretion to serve the public interest?

In considering these questions, attention is given to the factors that have contributed to the rise and fall of extensive administrative discretion in American public life. We will explore the necessity and desirability of the existence of this discretion for responsible administrative action.

2. Exploration of Solutions

The second major purpose of the syllabus is to explore various solutions to administrative ethical problems which collectively either perform the negative function of mitigating the crises of conscience of the individual administrator or the positive function of encouraging administrators actively to use their discretion to pursue the public interest. Four categories of solutions are examined: those that seek to remove temptations to the passions and the interests by an appeal to the enlightened self-interest of the individual administrator; those that attempt to structure, confine and control discretion in some kind of legal fashion; those that rely on techniques of
humanistic management and psychology to cultivate principles of right action; and, finally those that encourage administrators to fall back on larger normative values when faced with a discretionary problem.

3. Regime Values

A major part of the course is devoted to a cursory examination of three of the central values at the heart of the American political system: liberty, property and equality. Each section is divided into two parts. The first explores the overall place of each value within the American constitutional order. The second part considers how and whether administrative discretion ought to be used to promote each of these values.

The exploration of the three major values at the center of our political system relies heavily on the use of Supreme Court cases for four pedagogical reasons. First, these cases encourage us to distinguish stable principles from passing whims. The doctrine of stare decisis encourages the court to mediate the present through a dialogue with the past. This is a healthy corrective for those involved in the daily routine of administrative life with an eye characteristically fixed on the future. Second, the presence of both affirming and dissenting opinions by members of the Supreme Court provides a useful opportunity for public administrators to participate in a structured and formal debate on issues of fundamental importance. Participants in this debate are opened up to a reconsideration of questions of first principle, opinions are thereby broadened, and prejudices are softened.

Third, Supreme Court decisions are concrete. Abstract principles of right are disciplined by the need to apply them immediately to a concrete situation. This is especially helpful to those with a practical bent who shun discourse that is too theoretical. Finally, opinions of the Supreme Court are pertinent. They deal with interesting issues that count and about which passionate opinions are formed. Supreme Court opinions involving race and sex discrimination questions, the rights of welfare clients, and the rights of the public to agency information are of central concern to most administrators.

The overall goal of the section on liberty, property, and equality is to expose students to the core meaning of the basic values of our political system and to indicate the kinds of problems they need to be sensitive to in the exercise of their discretionary authority. For example, what kind of test should public administrators apply in deciding whether or not to issue a parade permit to a local youth gang or to the Klu Klux Clan? A clear and present danger test? A balancing approach? A reasonable person test? Or some other court sanctioned set of principles? Similar kinds of liberty questions can be raised with respect to the burdens that might be placed on agencies in their efforts to acquire information to determine client eligibility for services and to catch "cheaters". In short, just how zealously should administrators guard liberty, especially when doing so may endanger other important political values?

The section on equality is intended to accomplish two purposes. First, it exposes class participants to the sometimes problematic character of equality. Do administrators have
any business making decisions that extend equality in new directions? If so, where and how should they draw the line? Is race discrimination worse than sex discrimination, for example? How do these compare with discrimination against other categories of people that are subtlety made in agency policies and standard operating procedures? Answers to such questions not only drive practical decisions on affirmative action, but they help to shape an administrative dispositional spirit. What should that spirit be? Second, combining the material on liberty with that on equality enables us to see the vulnerability of our political system to a raw and crass concern for acquisitiveness. This has been reflected recently in the Enron scandal, the crash of the housing mortgage market, the Madoff affair, just to mention some of the more notable reminders of the crass consequences of unconstrained market forces. How can that rawness be tempered by the discretionary exercise of administrative authority? Consideration of this question leads to a discussion of property per se in the last section of the syllabus.

In the last section on property we consider why property has played such a central role in the American political system and whether those reasons serve us as well today as they did previously. The Supreme Court has provided an opportunity for us to consider this issue by deciding not to give property as much protection as free speech, press, and assembly, although there are signs that this trend is may be altered. Another related issue is the extent to which administrative discretion should be used to expand the concept of "new property rights". Most of these questions appear in the guise of "due process" proceedings - when due process should be extended and the extent to which these administrative proceedings should approximate the jury trial model.

**AVAILABILITY AND APPOINTMENTS**

The best option for arranging a personal meeting is to give me a call or send an e-mail to arrange a meeting time that will suit your convenience.

**REQUIREMENTS OF THE COURSE**

**Class and WebCT Discussions**

Class sessions will be conducted with the assumption that participants have read the required assignments with care and are fully prepared to engage in a spirited discussion of the issues that the materials raise. Since we will be talking together about questions that are sometimes elusive and almost always have more than one point of view, reading and listening with care are important skills for success in the course. To aid you in honing these skills, WebCT study questions have been prepared for each class Session. You are required to participate in one WebCT discussions for each of our scheduled intensive Saturday sessions. “Participation” is defined as: 1. Answering one (1) study question assigned for the intensive Saturday session
and responding to at least one (1) other participant for each of the three intensive Saturday sessions.

**Writing Assignments**

In addition to the disciplines of discussion, there will be several excursions into the discipline of writing.

**Short Paper Options:** Some of the writing assignments will consist of short papers on topics assigned for each Session. If these are not to your liking, you are encouraged to see the instructor about designing your own topic. The assignments have been written from an American government perspective. **However, if you have a comparative government experience or interest, the instructor will work with you to specially design appropriate assignments.**

**Long Paper Option:** The major excursion into the discipline of writing consists of a final ten to twelve page paper (3,500 word limit) describing how the development of your public service ethical framework has been affected by the course readings and discussions. You will be evaluated on the basis of your ability to integrate the course materials into a coherent treatise that accomplishes the following objectives:

1. Presents a coherent public service ethical framework.
2. Describes the kind of ethical problems that your framework is best suited to deal with, compared to those that it is less suited to deal with.
3. Indicates the extent to which your ethical framework takes into account the distinction between public versus private morality.
4. Explains how your framework takes into account the central regime values of the American political system.
5. Successfully integrates course readings into your analysis.
6. Summarizes the findings of a review of your ethical framework by an eminent group of consultants listed below. In summarizing their findings
   a. Indicate what the members of each list have in common.
   b. Select at least one consultant from each list and summarize the kind of response you would expect to receive as to your analysis and proposed solution(s).

   (A)  
   Herman Finer  
   William Meyer  
   Woodrow Wilson  
   Justice Rehnquist

   (B)  
   Martin Diamond  
   Carl Friedrich  
   John Rohr  
   Justice Brennan  
   Morgan/Green/Shinn/Robinson
WebCT Discussions - Each student is required to participate in six WebCT discussions, two for each Intensive Saturday session. “Participation” is defined as answering any TWO questions from among those listed for the various sessions covered during each all day class meeting, but no more than one question per session. As part of your “two question” requirement, you need to post a response to TWO of your colleague’s postings.

SUMMARY OF SCHEDULED ASSIGNMENT OPTIONS:

<table>
<thead>
<tr>
<th>Option</th>
<th>WHEN DUE</th>
<th>% OF GRADE</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Option I:</strong></td>
<td></td>
<td></td>
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<tr>
<td>1. One Short Paper (1200 word max): Choice of topics assigned for Sessions 1, 2, 3, 4, or 5.</td>
<td>Short paper is due two weeks following discussion of material in class.</td>
<td>25%</td>
</tr>
<tr>
<td>2. Final Paper</td>
<td>April 4th</td>
<td>50%</td>
</tr>
<tr>
<td>3. WebCt/class participation</td>
<td>Prior to class</td>
<td>25%</td>
</tr>
<tr>
<td><strong>Option II:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Three short papers (maximum of 1200 words) on any of the paper topics assigned for each session.</td>
<td>At least one paper is due prior to session 6.</td>
<td>25% each</td>
</tr>
<tr>
<td></td>
<td>All short papers are due two weeks following discussion of material in class.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Prior to class.</td>
<td>25%</td>
</tr>
</tbody>
</table>
COURSE SYLLABUS

The following materials are required for purchase:

Benjamin, Martin, *Splitting the Difference* (Kansas, 1990)
de Tocqueville. *Democracy in America*, ed. by Heffner (Mentor)

Other course readings listed in the syllabus can be found on electronic library reserve: [http://psu-eres.lib.pdx.edu/courseindex.asp](http://psu-eres.lib.pdx.edu/courseindex.asp) When you get to the library electronic reserve website, do the following:

1. Type in the instructor morgan
2. If you are asked for an access code, type in morgan again.
3. Go to Morgan’s instructor page and access the PA 513 course folder.

The D2L course website will also provide you with access to the assigned readings.
Unit I: Foundations of Public Ethics and Morality – February 19th

Exercise for those who have recently completed Dr. Ingle’s global leadership class: Drawing on the global leadership work that you undertook in Dr. Ingle’s class, develop an ethical framework for the leadership construct work that you completed. Provide a rationale for the parts as well as the whole in your leadership construct.

Post your work on the course discussion website and use these posting as the basis for your pre-class blackboard discussion exercise requirements. You can ignore the pre-written web discussion question, since they are for those who did not participate in Dr. Ingle’s course.

After completing the discussions and assigned readings for Unit I in our first class session on February 19th, you will be asked to make alterations in your ethical framework and post it as part of the Blackboard discussion.

Session 1: February 19th

I. PRIVATE VS. PUBLIC MORALITY: IS THERE A DIFFERENCE THAT COUNTS?

Purpose of Session

1. To define the distinction between public and private ethics.
2. To define the difference between ethics and morality.
3. To explore the implications of the distinctions in #1 and #2 above for career administrators.

Readings

John Rohr, Ethics for Bureaucrats, preface & Introduction.


William J. Meyer, "Political Ethics and Political Authority," Ethics 86 (1975/76), pp. 61-69. This is located on the WebCt course site on the home page in the Readings Folder for session 1
http://faculty.plts.edu/gpence/html/kohlberg.htm

Bill Grace, “Moral Leadership”.  

Morgan, Foundations of Public Service, Chapter 1, pp. 21-end; Chapter 2, all.  

Eagle Rock: The Case of the Peregrine Falcon  
http://www.pdx.edu/eli/morgan/eagle_rock

Ethics Case Materials  http://www.pdx.edu/eli/morgan/ethics_cases

D2L WebCT Questions

1. For those who have taken Dr. Ingle’s Global Leadership class, drawing on the assigned readings, post the ethical framework or essential characteristics of such a framework that you believe to be important for the leadership construct you have developed in the course.

2. For those who have not taken Dr. Ingle’s Global Leadership course or who prefer an alternative assignment, answer any one of the following WebCT questions.

   a. What does John Rohr mean by the phrase "false starts" in the study of administrative ethics? What would Meyer, Grace and Kohlberg say about Rohr’s position?

   b. According to William J. Meyer, what is the difference between corruption and tyranny? Would this distinction make sense to Kohlberg? To Grace?

Short Paper Topics

1. To what extent does the ethical framework you are developing take into account the distinction Meyer draws between corruption and tyranny? Use Rohr to critique your position.

2. According to John Rohr, "[i]t is quite possible for a surgeon with impeccable ethical standards in his professional life to be an absolutely irresponsible parent, a compulsive gambler, an incorrigible lecher, and so forth. Unless we are willing
to acquiesce in the same possibility for government managers, we shall not make much progress in developing meaningful ethical standards for managers in the career civil service (p. 16)."

To what extent do you agree with Rohr's proposition that we need to distinguish between personal and professional ethics? Draw from other assigned readings to support your argument.

II. WHY CAREER ADMINISTRATORS FACE ETHICAL PROBLEMS

Session 2: – February 19th

Purposes of Session 2

1. To identify the multiple factors that contribute to ethical conflict in the administrative setting
2. To understand the limits of rule-centered approaches.
3. To understand different ways of thinking about and dealing with moral conflict in the work setting.

Readings for Session 2

A. Reason #1 for moral conflict: The Pervasiveness of Administrative Discretion & the Problem of Creating Standards that Control Every Circumstance

Rohr, Chapter 1.

B. Reason # 2 for moral conflict: The Problem of “Knowing What is Right”

Benjamin, Chapters 1-3, 5.

D2L WebCT Discussion Questions for Session 2

Answer any one of the following WebCT questions.

1. How much and what kind of discretion (i.e., political, technical, planning, etc.) have you exercised as an administrator? What factors contributed to the
existence of this discretion? On hindsight, did you think you had too much or too little discretion?

2. To what extent does your ethical framework take into account Benjamin’s distinction among the following three approaches to ethical conflict: interest-based approaches, principle-based approaches, and integrity-based approaches? Why does Benjamin prefer the integrity-based approach? To what extent does your ethical framework resemble/differ from Benjamin’s approach?

**Paper Topic for Session 2**

Drawing on a moral conflict from your own experience, or one provided by the instructor, use the reading materials from Session 2 to identify the kind of ethical abuse in question. Use your ethical framework to evaluate the way in which you would seek to ameliorate(resolve/compromise the moral conflict that arose. Use Benjamin to critique your response.

**Session 3: February 19th**

**C. Reason #3 for Ethical Conflict: “Doing What is Right” in the Political World Where You Serve Multiple Masters**

**Purpose of Session 3**

1. To understand the conflicting role responsibilities of career public administrators within the American political system.

2. To understand the role conflicts that arise in local systems of government with part-time and/or short-term elected officials.

3. To provide a constitutional ethical framework for dealing with the conflicts resulting from the role ambiguity of career administrators.

**Readings for Session 3**


Morgan, et. al., "What Middle Managers Do in Public Organizations: Stewardship of the Public Trust and the Limits of Reinventing Government" (1994)

**D2LEARN  WebCT Discussion Questions for Session 3**

Answer any one of the following WebCT questions:

1. What moral conflicts have arisen in your work setting and/or professional career that result from the conflicting role responsibilities described by Morgan, Green, et. al, *Foundations of Public Service*, (chapters 2-3)? What solutions were relied on to deal with these conflicts? How would these solutions differ from those suggested by your evolving ethical framework?

2. Which of the role models presented by Morgan, Green, et. al. in *Foundations of Public Service*, Chapter 4, pp. 119-126, especially in Figure 4.1, best captures your own experience and preferences for how best to define the moral role responsibilities of career public administrators? How does your ethical framework take into account the multiple role responsibilities of administrators?

**Short Paper Topics for Session 3**

Using a case from your own administrative experience or one provided by the instructor that poses a serious problem of role ambiguity, answer the following questions:

1. Clearly describe the various role conflicts for the administrative decision maker in the case you have selected.

2. Drawing on the reading materials assigned for Session 3, explain why these conflicts exist.

3. Drawing on the reading materials assigned for Session 3, assess the extent to which the various roles in conflict should be given equal weight.

4. Evaluate how your evolving ethical framework would address these conflicts.
Unit II CONTROLLING ABUSES OF ADMINISTRATIVE DISCRETION

Session 4: March 5th

Purposes of Session 4: Types of Abuse with Focus on Professional and Political Controls

1. To understand the multiple approaches in place for ensuring administrative accountability.
2. To understand the strengths and weaknesses of various solutions to administrative abuses of discretionary authority.
3. To understand the differences between political and professional controls over administrative action.

Readings for Session 4


Rohr, Chapter 2.

A. Readings Focusing on Political v. Professional Control


Codes of Ethics, http://www.iit.edu/departments/csep/PublicWWW/codes/coe/aspa-c.html


WebCT Discussion Questions for Session 4

Answer at least one of the following WebCT questions.

1. What are the essential differences between Carl Friedrich and Herman Finer? Who comes closest to reflecting your own view? How might Woodrow Wilson judge between the views of Friedrich and Finer?

2. Explain the implications of your evolving ethical framework for the views of Finer, Friedrich and Wilson?

Short Paper Topics for Session 4

1. Using a case study from your own experience or one provided by the instructor, discuss the strengths and weaknesses of relying on the various correctives to administrative abuse discussed in Session 4.

2. To what extent would your evolving ethical framework solve some of the major ethical problems faced by your program/agency/organization? To what extent does your framework rely on external controls in comparison to an "inner sense of duty"?

Session 5: March 5th

Purposes of Session 5: Organizational and Legal Controls

1. To understand the strengths and weaknesses of organizational controls over administrative abuse of discretion.

2. To understand the strengths and weaknesses of legal controls over administrative abuse of discretion.

Readings for Session 5.

B. Legal Controls


C. Organizational Controls


WebCT Discussion Questions for Session 5.

Answer at least one of the following WebCT questions.

1. What are the appropriate correctives to guard against the ethical problems created by Speer's approach to administrative management?

2. To what extent does evolving ethical framework rely on formal and informal administrative rule making to control administrative discretion? What kind of ethical issues does this approach fail to address?

Paper Topics for Session 5

1. Using a case study from your own experience or one provided by the instructor, discuss the strengths and weaknesses of relying on the legal and organizational correctives to administrative abuse discussed in Session 5.

2. To what extent does your evolving public service ethical framework guard against the ethical problems created by Speer's approach to administrative management? Do Singer and Wooton's critique of Albert Speer's administrative genius constitute a critique of humanistic management theory and techniques in general? What are the implications of this discussion for your evolving ethical framework?

Unit III. THE CONSTITUTIONAL ROLE OF ADMINISTRATORS

A. LIBERTY AS REGIME VALUE

Session 6: March 5th

Purpose of Session 6.

1. To understand what “liberty” means as a central regime value.

2. To understand the conflicting views of the conditions necessary to preserve “liberty” and their implications for the work of career administrators.
Readings for Session 6


Federalist Papers, #10, 51, 72.


WebCT Discussion Questions for Session 6

Answer at least one of the following WebCT questions.

1. What does Madison mean in Federalist #51 when he argues that in constituting the various branches of government "ambition must be made to counteract ambition. The interest of the man must be connected to the constitutional rights of the place...[s]o that the private interest of every individual may be a sentinel over the public rights?" Why does Madison call the arrangements established on such principles "inventions of prudence"? For an excellent illustration of putting these "inventions of prudence" into practice, see Hamilton's discussion of term limits in #72. Discuss how your evolving ethical framework takes into account and relies on Madison's inventions of prudence in dealing with public service ethical problems.

2. What does Diamond mean when he distinguishes the morality of the "new Scrooge" from the morality of the "old Scrooge"? Which of these two moralities most resembles the kind of morality that you have incorporated into your evolving ethical framework?

Paper Topic for Session 6

1. What do the Antifederalists mean when they embrace what has come to be called the "small republic theory"? How does this theory differ from the theory set forth by Publius in the *Federalist Papers*? To what extent does your evolving ethical framework accommodate the "small republic theory’ and why is this important/unimportant?

2. Pick a case study from your own experience (or one supplied by the instructor) that provides an example of how an agency has used its discretion in ways that
were not consistent with our regime value of liberty. Use your evolving ethical framework and the course readings to discuss how you would address the issue.

Session 7: March 5th

B. LIBERTY - ADMINISTRATIVE APPLICATION

Purposes of Session 7

1. To understand how administrators can exercise their discretionary authority to counteract the consequences of “excessive individualism”.

2. To understand how administrators can exercise their discretionary authority to counteract the consequences of “interest group liberalism”.

3. To understand how administrators can exercise their discretionary authority to develop “social capital” and cultivate “civic capacity”.

Readings for Session 7

1. The Problem of countering excessive individualism:


2. The Problem of countering interest group politics:

   William L. Morrow, "The Pluralist Legacy in Public Administration" in A Centennial History of the American Administrative State, Ralph Chandler, ed. (Free Press, 1987) pp. 161-188. This article is located on the course website in the “Readings Folder”


   Rohr, Chapter 4.

WebCt Discussion Questions for Session 7
1. How does your ethical framework take into account Morrow’s concerns regarding the pluralist legacy of American democracy? To what extent does your solution share Madison’s approach in dealing with the problem of “majority tyranny”?

2. To what extent do you think de Tocqueville's distinction between decentralized government and decentralized administration makes sense? To what extent does your ethical framework take into account the importance of this distinction?

**Short Paper Topics for Session 7**

1. Using a case study from your own experience (or one supplied by the instructor), discuss how your evolving ethical framework and the course readings would address the “liberty problem” discussed in the assigned readings?

2. To what extent does your ethical framework take into account McGregor's call for enhanced "civic capital"? To what extent would Morrow agree and deTocqueville agree with McGregor’s concern?

**Session 8: March 19th**

**C. EQUALITY AS REGIME VALUE and ADMINISTRATIVE APPLICATION**

**Purposes of Session 8**

1. To define what is meant by the “equality problem”
2. To understand the conflicting views regarding the relationship between liberty and equality of social condition.
3. To understand how administrators can exercise their discretionary authority to help solve the “equality problem”.
4. To understand what legal principles governing equality are important for administrators to understand in the exercise of their administrative discretion.

**Readings for Session 8**

- The Declaration of Independence
- de Tocqueville, Review readings assigned for Session 7; Book III, pp. 257-320.
- Rohr, Chapter 3.
Choose one of the following:


WebCt Discussion Questions for Session 8

1. Which of the ways of thinking about equality discussed by Schaar seems to be most consistent with your evolving ethical framework? Why does Schaar conclude that each of the ways of thinking about equality is inadequate? Do you agree?

2. According to de Tocqueville, what is the connection, if any, between excessive individualism and the passion for equality of condition? To what extent does your evolving ethical framework take into account de Tocqueville’s concern?

3. Which view of equality in the judges' opinions in the assigned affirmative action cases (i.e., Bakke, Adarand, Grutter and Richmond) comes closest to capturing an understanding most consistent with our constitutional system? With your ethical framework?

4. What problem is Levine seeking to solve by recommending the development of coproduction approaches to the delivery of administrative services? Drawing on your own experience, to what do you think these approaches will work? To what extent would Levine’s recommendations for coproduction strategies help to solve the "equality problem"? How does your ethical framework address Levine’s concerns?

Paper Topics for Session 8

1. Pick a policy or program for which your agency might adopt the principle of preferential treatment or a scheme of gender-based classification.
a) Write either a critique or a defense of the program or policy you have chosen.

b) Compare and contrast what one person in list A would have to say about your analysis with one person in list B:

<table>
<thead>
<tr>
<th>A</th>
<th>B</th>
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<tbody>
<tr>
<td>Justice Stevens</td>
<td>Justice Brennan</td>
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<tr>
<td>Justice Powell</td>
<td>Justice Marshall</td>
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<tr>
<td>Alexis de Tocqueville</td>
<td>Justice Blackmun</td>
</tr>
<tr>
<td></td>
<td>John Rohr</td>
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</tbody>
</table>

c. Use your ethical framework to judge between the two views.

2. Identify a coproduction opportunity you might undertake for your administrative agency and discuss the extent to which it might successfully achieve some of the objectives set forth by Levine. To what extent do you think coproduction offers any prospects for solving the equality problem faced by our democratic society?

3. Using a case study from your own experience or one provided by the instructor, discuss how an agency has used its discretion in ways that affect the so-called "equality problem."

   a) Use your ethical framework and the readings for Session 8 to describe and explain the equality problem.

   b) Who among the authors of the material for Session 8 provides the best solution to the "equality problem" you have identified?

   c) How would your ethical framework address the problem?

**Session 9: March 19th**

**E. PROPERTY AS REGIME VALUE**

**Purposes of Session 9**

1. Understand the conflicting views of property as a core regime value.

2. Understand the historical development of property as a core regime value.

3. To understand the significance of the difference between "old property" and "new property."

**Readings for Session 9**

Morgan, ET. Al. Foundations of Public Service, Chapter 3.
Rohr, Chapter 5.
de Tocqueville (Hefner), Review readings previously assigned; especially pp. 243-256; 296-307.

**WebCt Discussion Questions for Session 9**

1. What does John Rohr mean when he says that the purpose of his discussion of property is to redeem "the concept of property from the reactionary overtones it inevitably suggests"?

   Why does property need to be redeemed? Who are the benefactors of such redemption?

3. Do you think that property should be given less protection than free speech? Why/why not? Under what conditions?

4. According to John Rohr, what role should property play in the constitutional scheme of American values? Would you agree with his view? Why/why not?

**Short Paper Topics for Session 9**

Drawing on a case study from your own work experience or one provided by the instructor, discuss how one might use his/her administrative discretion to aid and abet or to frustrate Rohr’s view of the role that property should play in our American scheme of values? It is important in answering this question to use a concrete case and to indicate your agreement or disagreement with Rohr’s basic proposition about the need to “redeem the concept of property from the reactionary overtones it inevitably suggests.” Explain how your evolving ethical framework addresses the property issues raised by Rohr.

**Session 10: March 19th**

**F. PROPERTY - ADMINISTRATIVE APPLICATION**

**Purposes of Session 10**

1. To understand how administrators can exercise their discretionary authority to advance the appropriate role that property should play in our democratic system of governance.

2. To understand what legal principles governing property are important for administrators to understand in the exercise of their administrative discretion.
Readings for Session 10

Dolan v. Tigard, 114 S. Ct. 2309 (1994),

Goldberg vs. Kelly, 397 U.S. 254 (1970),

Oregon Measure #37,
http://www.newwest.net/index.php/topic/article/11213/C35/L35


WebCT Discussion Questions for Session 10

Answer at least one of the following WebCT questions.

1. Which Justice’s opinion in Goldberg v. Kelly seems to be the most consistent with Rohr's “redeemed view” of property? Which, if any, is the most inconsistent? Which view most reflects the values imbedded in your evolving ethical framework?

2. Drawing on the The City of Tigard v. Dolan, assess the extent to which administrative practice in your agency may compromise the property rights of American citizens.

Short Paper Topics for Session 10

1. Identify any "new property rights" which are protected in your agency. Write an essay evaluating the extent to which such rights ought to be given the same protections as "old property rights". Explain how your evolving ethical framework addresses the issue of "old" versus “new” property rights.

2. To what extent do you believe that “new property” should receive the same status as "old property"? To what extent does your ethical framework address this question?
PA552: Analytic Methods in Public Administration (Executive MPA)
Winter 2014 (1/4, 1/18, 2/1)
Location: Cramer 401

Instructor: Matthew Jones, Ph.D.
Office: Urban Center 570J
Office Hours: By appointment
Phone: (360) 921-2321
E-mail: jonesma@pdx.edu

COURSE DESCRIPTION

This course provides an overview of research methods used widely in the public sector. The course is designed to help you become an informed critical consumer of social-science research related to public administration, and help you design and conduct effective research projects. Topics include the processes of social research, relationships between theory and research, quantitative vs. qualitative research, project-based research, data collection, data analysis, and how to read and write a research report. A major part of this course is conducted using facilitated discussions and research projects.

COURSE OBJECTIVES

By the end of the course, students will be able to:

• Employ appropriate qualitative and quantitative techniques to investigate, monitor, and manage human, fiscal, technological, information, physical, and other resource use.
• Formulate a clear research question, and identify the research question in reports and articles;
• Design and implement a research project using with appropriate methods;
• Understand, explain, and apply basic research concepts;
• Read, evaluate, and interpret an academic or applied research report; and
• Have a general idea for how to develop and approach “capstone” project for the Exec. MPA requirement.
• Synthesize previous material (Leadership, Org. Development, etc.) into the process of research and organizational sustainability.

Assigned Textbooks

Occasional journal articles and other reading materials will be assigned in addition to the following texts.

Required Texts:


## COURSE SCHEDULE

Following is the general schedule for each class session. Course content is subject to change.

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<thead>
<tr>
<th>Date</th>
<th>Topics</th>
<th>Suggested Readings</th>
<th>Assignments</th>
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<tbody>
<tr>
<td>1/3</td>
<td>D2L posting 1: “I think this is an interesting research report/article, because...”</td>
<td>Post the report/article with comments (D2L).</td>
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<tr>
<td>1/4</td>
<td>• Introduction to class</td>
<td>Dane, Intro-Ch.2</td>
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<td></td>
<td>• Why do research?</td>
<td>Machi &amp; McEvoy, Intro &amp; Ch.1</td>
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<td>• Types of research</td>
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<td>• Overview of research process</td>
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<td>• Role of researchers vs. practitioner</td>
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<td>• Formulating a research problem.</td>
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<td>1/5-1/17</td>
<td>Research Question (interest statement) Exercise</td>
<td>Post your research question (D2L).</td>
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<td>1/18</td>
<td>• Conceptualizing a research design</td>
<td>Dane, Ch. 7-8</td>
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<td></td>
<td>• Literature Review</td>
<td>Machi &amp; McEvoy, Ch. 2-5</td>
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<td>Research Methods Knowledge</td>
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<td>Base/design (link on D2L)</td>
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<tr>
<td>1/20-2/1</td>
<td>D2L posting 2: Find a research article for a friend</td>
<td>Post the exercise (D2L).</td>
<td>Tentative list of literature to review</td>
</tr>
<tr>
<td>2/1</td>
<td>• Sampling</td>
<td>Dane, Chs. 3, 5 &amp; 6 (12, if time)</td>
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<td></td>
<td>• Data Collection</td>
<td>Machi &amp; McEvoy, Ch. 6</td>
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<td>• Reliability and Validity</td>
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<td>• Constructing an instrument for data collection</td>
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<td>• Writing the Research Report</td>
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<td>(2/9)</td>
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<td>Research proposal with literature review/pre-research</td>
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<td>(2/16)</td>
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<td>Building Research Capacity Paper</td>
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**NOTE:**
1. **Shaded rows** indicate activities and assignments due for dates we are not meeting face-to-face.
2. **Italicized** characters and (D2L) indicate activities and assignments to be posted on D2L.
3. **Bolded** characters indicate assignments to be placed in D2L Drop Box.
Assignments

1. Research report/article D2L postings (Two entries, 1/4 & 1/20~ 2/1, P/NP)

D2L posting #1
On or before 1/3, under the ‘discussion’ section of D2L, post one research report or article that you found interesting. The article can be on any subject matter related to public and non-profit management. The piece can be either an academic article or a research report generated by a think tank or organization (e.g. research and evaluation units/auditor’s offices, etc.). Comment on why you thought the report/article was interesting.

D2L posting #2
During 1/20~ 2/1, post one research report or article that you thought might be useful to one of your classmates’ potential research project. In order to find a research report/article for your classmate, you will have to read their research question posting (due 1/17). Comment on why you thought the report/article might be useful to the particular classmate’s research project.

Note: You can either upload the article as an attachment, or post the link to the article.

Grading: This assignment is graded as Pass/No Pass. In other words, if you have the articles posted by the due dates you will get a pass. If you did not post the articles by the due dates you will get no pass.

2. “Developing a research project” exercise (Due 1/19, 2/2; P/NP with suggested grade)

Research Question (Interest Statement) Exercise (Due 1/17)
For this exercise you will need to post your focused research question. You may wish to consult the Machi & McEvoy text (chapter 1 exercises). Complete the exercise and post it on D2L.

Grading: This assignment is graded as Pass/No Pass. In other words, if you have the exercises fully completed and posted by the due dates you will get a pass. If you did not post the exercises by the due dates you will get no pass. I will, however, give you some feedback on each one of the exercises with a suggested letter grade. If you get an A on these exercises that means you are on the right track towards your final research proposal paper. If you get a B or C on these exercises, that means there are things you need to think about or improve in order to get a better grade for your final research proposal paper.

3. List of possible literature to review (Due 2/1, P/NP)

Compile a list of literature (citations in APA format) you would like to review for your research project. Post it on D2L.

Grading: This assignment is graded as Pass/No Pass.
4. Research proposal (Due 2/9, Graded, no longer than 10 pages, double-spaced)

Think about the kind of research that you would be interested in conducting to address a particular issue that is relevant to your work, or your own personal interest. Write a research proposal. The proposal needs to include the following components.

i) Review of the relevant literature/pre-research;
ii) Research problem;
iii) Significance of the research;
iv) Data collection design;
v) Sampling method;
vi) Data analysis strategy; and
vii) Implications of the research findings.

The length of the proposal should be no longer than 10 pages, double-spaced (not counting tables, graphs, reference list and other appendices). Please upload this assignment to the D2L Dropbox.

Grading: Following aspects will be considered in grading your research proposal.

i) Organization of the paper;
ii) Logical and coherent argument;
iii) Soundness of the research design, data collection, sampling method and data analysis strategy;
iv) Logical presentation of the implications of the research; and
v) Writing quality.

5. Building Research Capacity (Due 2/16, Graded, no longer than 6 pages, double-spaced)

Draft a brief paper on, “Research as an Organizational Lifestyle.” Research can help guide organizations in formulating and evaluating strategy, which subsequently creates organizational knowledge. James March posits that the greatest threat organizations face is uncertainty. Uncertainty can be defined as the difference between the information the organization possesses and the information it needs. Surely, evaluating constituent needs, regularly evaluating programs, engaging in action research and planning intelligently assist in closing this gap. Yet, building this capacity and culture in an organization can be easier said than done. This is not only an issue of building technical capacity in the area of research; it is also an issue of political mastery, organizational development and leadership (all of which are certainly not mutually exclusive).

For this project, detail how you would create “Research as an Organizational Lifestyle.” Each one of you work in different organizations that serve different clients and have already implemented this lifestyle to varying degrees. This project should explicitly: state the benefits of using research in daily operations of the organization, analyze where the organization is currently at in this endeavor and draw upon material you have mastered in previous courses to formulate your plan.

Grading: Following aspects will be considered in grading your Building Research Capacity paper.

i) Depth of the analysis;
ii) Logical and coherent argument; and
iii) Organization of the paper/ Writing quality.
# Grading Breakdown

1. Research report/article D2L postings (Two entries, P/NP)  
   8 points
2. “Developing a research project” exercise (P/NP)  
   8 points
3. List of possible literatures to review (P/NP)  
   4 points
4. Research proposal  
   40 points
5. Building Research Capacity  
   40 points

Total  
100 points

A = 93%  
A- = 90%  
B+ = 87%  
B = 83%  
B- = 80%  
C+ = 77%  
C = 73%  
C- = 70%  
D+ = 67%  
D = 63%  
D- = 60%  
F UH-OH!
Course Description

This course is designed to provide a broad theoretical and applied perspective of the field of Human Resource management in the public sector with the historical view of its emergence as an aspect of American governance. The course will introduce the concepts and principles of Human Resource management, and its role as a strategic partner in attaining organizational objectives.

Students will be exposed to successful HR management models and practices for application in their workplace environments. The practical aspects of the course will be approached from the perspective of the public sector professional administrator.

This course will use lecture, discussion, and workshop methods in the classroom and supplement learning on-line with assignments involving related readings and interactive student postings.

Integrity, courage, emphasis on public good and commitment to public service are among the key values modeled by U.S. Senator and Oregon Governor Mark O. Hatfield

“Public service leadership needs to be guided by the ethical values unique to America’s multiple political systems. These include legal accountability, the protection of individual liberty and equality under the law. Ethical public service requires an appreciation of the institutional foundations of the governing system and constant reflection.
on the moral purposes of one’s administrative responsibilities.” Defining context underlying the value for PA competency 1. EMPA Accreditation Self Study: National Association of Schools of Public Affairs and Administration. p 68

“Do the right thing, for the right reasons, in the right way and you will live up to your obligation to treat your position as a public trust.” Catherine LaTourette on the management of human resources.

Course Objectives

By the end of this course, students will understand their responsibility to accept and master the following EMPA and PA divisional competencies. The ability to:

- Demonstrate creativity in using a variety of leadership approaches to match different types of leadership challenges. (EMPA competency C)
- Articulate and exemplify the ethics, values, responsibilities, obligations and social roles of public service professionals. (PA competency 1)
- Respond to and engage collaboratively with diverse local and global cultures and communities to address challenges in the public interest. (PA competency 3)
- Create and manage systems and processes to assess and improve organizational performance (PA competency 6)
- Conceptualize, analyze and develop creative and collaborative solutions (PA competency 7)
- Demonstrate verbal and written communication skills as a professional and through interpersonal interactions in groups and in society. (PA competency 9)

Learning Outcomes

After successful completion of this course students will:

- Understand the mission, scope and functionality of public sector human resources in general and in their organization.
- Understand the challenges and liabilities involved in balancing employee, organizational, governmental, legal, contractual and political needs when managing human resource matters
- Understand how the role of all managers is critical to effective employee engagement and productivity in a changing workforce
- Learn and practice human resources-related skills, methods and processes to enhance the effectiveness of management and leadership skills, as well as professional interactions in the workplace.
Assigned Readings

Journal articles and other reading materials may be assigned and/or recommended in addition to the following texts.


Course Schedule

Following is the general schedule for each class session. Course content is subject to change.

<table>
<thead>
<tr>
<th>Date</th>
<th>Topics</th>
<th>Readings/ Assignments</th>
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<tbody>
<tr>
<td>Dec. 13</td>
<td>Overview of Human Resources Management</td>
<td>Chapters covered in class: Daly, Chapters 1, 2, 3, 5 Morgan, Chapter 8</td>
</tr>
<tr>
<td>a.m.</td>
<td>• Mission, function, practice</td>
<td>Assignments Due: HR Interview: 1-9-15</td>
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<tr>
<td>p.m.</td>
<td>• Emergence in American governance</td>
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<td>EEO/AA</td>
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<td>Talent Management</td>
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<td>• Recruitment and Selection</td>
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<td></td>
<td>• Targeted Selection Exercise</td>
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<tr>
<td></td>
<td>Reflection: Hope to Learn</td>
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<tr>
<td>Jan. 10</td>
<td>Strategic HR</td>
<td>Daly, Chapters 2, 9 Morgan, Chapter 9</td>
</tr>
<tr>
<td>a.m.</td>
<td>• Knowledge of Organization/Workforce</td>
<td>Assignments Due: Chapter Summary and Presentation: 1-17-15</td>
</tr>
<tr>
<td></td>
<td>• Alignment with Organizational Mission</td>
<td>Outline and Topic Section for Final Paper: 1-23-15</td>
</tr>
<tr>
<td>p.m.</td>
<td>S.W.O.T. Analysis</td>
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<tr>
<td></td>
<td>• HR-Related &amp; HR as Partner</td>
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<td>Employee Relations</td>
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<td>• Early Intervention</td>
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<td>• Progressive Discipline</td>
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<td></td>
<td>• Employee Performance Case Exercise</td>
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<tr>
<td></td>
<td>Reflection: Hope to Learn</td>
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</tbody>
</table>
| Jan. 24 a.m | Focus on HR-Related Skills for Administrators  
| | • Emotional Intelligence  
| | • Employee Engagement  
| | • Key Supervisory Qualities  
| Lunch p.m. | Class Presentations of Chapter Summaries  
| | Working Lunch to continue presentations  
| | Performance Management  
| | • Job Description  
| | • Performance Evaluation  
| | • Learning and Development  
| | Labor Relations  
| | Open Items  
| | LaTourette’s Top HR Tips  
| | • To Do and Never To Do!  
| | Course Evaluation and Reflection  
| Daly, Chapters 6, 7, 8 | Assignments Due:  
| | Final Paper: 2-15-15 |
Assignments

1. **Interview with an HR Executive or Manager**
   Conduct an interview with an HR Manager (at an Executive or Senior Managerial level if possible). Ask the following questions and report his/her answers in a short paper. Provide a concluding paragraph describing 2 or 3 things you learned about the HR profession in general, or its role in your organization as a result of this interview. The paper should be no more than 3 pages in length, double-spaced with one inch margins and 12-point text size in Times New Roman font.

   **Submit your HR Interview paper in the D2L Dropbox area by Friday, January 9, 2015 by 11:59 pm. Your HR Interview paper is worth a total of 20 points.**

   Here are the interview questions:
   a. What is his/her position title and job?
   b. Ask how and why he/she got into the field.
   c. How would he/she describe the purpose of the profession and mission of HR?
   d. Ask for one example about how the work of their HR department has strategically supported the mission of their organization.
   e. Ask them to explain how the success was measured. How did HR know the effort was successful? What was improved, changed, and/or implemented, by how much and for how long? Did the organizational leaders know about the HR strategic contribution?
   f. What aspects of his/her work in HR provides genuine gratification?
   g. What are the top 2-3 HR challenges, liabilities and/or concerns facing him/her now?
   h. What can line managers do to reduce those concerns and/or liabilities?
   i. What is his/her advice to line managers to enhance employee engagement and productivity?

2. **Chapter Summary and Presentation with Video**
   Review one chapter from the course texts to summarize according to the questions provided. Then prepare a presentation to “teach” the class about your chapter. You may use ppt, flip charts, handouts and/or other methodology in teaching your chapter topic. And, your presentation must include one video that will convey the concepts of your chapter topic. The video may be serious, instructional, dramatic and/or humorous in how it delivers a message that supports your presentation.

   For this assignment you will partner with one other classmate, with the understanding that you will both receive the same grade for the paper and presentation. Each pair will list their
first, second and third choice for chapters. The instructor will facilitate the designation of the chapters with as much respect for the teams’ first preferences as possible.

Available chapters include:
Daly: Chapters 4, 5, 6, 7, 8, 9; Morgan: Chapter 9 pages: 233-247, Chapter 9 pages: 247-259.

The paper should be no more than 3 pages in length, double-spaced with one inch margins and 12-point text size in Times New Roman font. Be sure to include a heading identifying the text and chapter number you will be summarizing.

Submit your Chapter Summary paper with video link (and ppt or handout, if applicable) in the D2L Dropbox area by Sunday January 17 by 11:59 pm. The Chapter Summary paper and presentation is worth 20 points.

Here are the questions to address in your chapter summaries:

a. Why did the author write this chapter; what was its purpose in the text?
b. What were the key elements covered and why were they important?
c. How does the chapter content support, instruct, guide, and enlighten you in performing your work—either currently or in the future.
d. How does this chapter relate to, reinforce and or inspire your professional goals that can be included in your leadership portfolio.

3. Outline and Topic-Selection for Final Paper

You should begin thinking about your final paper topic during the first several weeks of the course. Select from the five topics described in the Final Paper section, and then prepare a comprehensive outline that will provide a framework for you to research and write your final paper. Your outline will be graded based on the inclusion of the elements identified below, and will utilize the same grading rubric as for your final paper which is provided in the table below.

Submit your Outline and Topic Selection assignment in the D2L Dropbox area by Friday, January 23, 2015 by 11:59 pm. Your outline is worth a total of 10 points.

<table>
<thead>
<tr>
<th>Outline and Topic-Selection for Final Paper</th>
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<tbody>
<tr>
<td><strong>Name of Selected Topic:</strong></td>
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<tr>
<td><strong>Introduction:</strong> (about 1-2 paragraphs)</td>
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<tr>
<td>State the topic of your paper and outline what you will cover in the introduction section. This section</td>
</tr>
</tbody>
</table>
should describe what you will be covering, solving, implementing, applying and/or handling in your paper.

**Background:** Frame the details of the situation, the challenge to solve and/or the objective to achieve. You should prepare to examine the facts and outline all of the possible areas for data such as the situation background, root causes, policy requirements, productivity or other performance metrics, behavior, history, culture, etc. of the organization and/or the persons involved.

**Expert input:** Outline the sources you will seek for research, input, best practices, citations, and/or other cases from which to draw relevant examples, suggested solutions and/recommendations for addressing your topic.

**Actions:** Outline the HRM actions to apply to the situation. Your paper will need to describe what actions need to be taken and by whom. For example, the paper will cover the actions needed--what did you/HR/the organization do or plan to do in the future? What should have done? Assess why a certain approach was taken over other approaches, etc.

**Measure the results:** Be sure to include in your outline a section addressing a way to measure initial and sustained success, in other words, how will you know if your actions made a difference?

**Conclusion/summary:** Be sure you have a clear wrap-up to your paper and the outline should frame what has been achieved or improved, what contribution was made to the organizational mission and/or individual employee success. Be as specific as possible in the outline to guide the conclusion of your paper.

4. **Final Paper**

**Write one paper** from the following selection of topics. This paper should be 6-8 pages in length (not including any tables, charts or references). The paper should be double-spaced with one-inch margins, 12-point text size, and Times New Roman font. You must support your material with at least 3 citations from the texts, journal articles or other academic resources. At the top of your paper include a heading with your name, and the number and name of the topic you selected.

You may select another topic for your final paper that may be applicable to your work, professional goals and or interest. This will be subject to the instructor’s approval, who will be very open to your suggestions.

Submit your final paper in the D2L Dropbox area by Sunday, February 15, 2015 by 11:59 pm. Your final paper is worth a total of 30 points.

1. **Employment** - Describe your use of the targeted selection model in an actual hiring situation or any position you wish to examine. Create or use an existing position description, analyze it for key skills, knowledge and abilities and prepare a minimum of 8 questions for the interview process. Describe your assessment standards and your ability to determine the best candidate for the position. Describe the skills, knowledge
and abilities of the ideal, “selected” candidate. Remember to include a minimum of 3 citations supporting the content of your paper.

2. **Performance Management** - Research and describe an effective performance review form and process. There is much literature available about best practices involving performance management and the review process. Provide the form, explain the elements contained in the form, the procedures that you recommend should be followed in using the form, and provide your opinion about the effectiveness of the experience for the supervisor and the participant. Will this form lead the supervisor and employee through a meaningful experience? Why/why not? Bring in elements from the class and/or the course readings. Remember to include a minimum of 3 citations supporting the content of your paper.

3. **Employee Engagement** - In your paper explain how an organization can increase employee engagement through efforts that may include HR-related procedures, policies and practices, supervisory and management skills and behaviors, and/or leadership efforts. Describe at least 3 examples of such activities that are working well in generating engagement in various organizations. Use your course text and other resources for authoritative input in defining “employee engagement” and in finding your examples. Remember to include a minimum of 3 citations supporting the content of your paper.

4. **Strategic HR** – Identify a business unit or organizational objective, need and/or challenge and determine how HRM’s involvement can partner in solving/addressing/contributing to its solution. Include a clear description of the challenge and the HRM effort, actions, programs, etc. needed to address it. Establish the desired results for the actions/program and ways to measure if the goals are being reached at short term (in 6 months) and long term (after 2 years) check points. Remember to include a minimum of 3 citations supporting the content of your paper.

5. **Employee Relations or Labor Relations** - Find and describe a problematic employee relations situation (can be a published case study or one that you invent) and pretend that you are responsible for handling it. It can be in a union or non-union environment; it may involve a performance-related matter or conduct violation. Explain the circumstances--the employee’s performance or behavior issue in terms of the expectation and how the employee did not meet the performance/behavior standard. Cite the rules, contract articles, policies, protocols, etc. that apply. Explain what steps need to be taken to correct the situation. What is the supervisor’s role? The role for the HR partner? What did they do or say? How did the employee respond? Explain the results of the intervention at the various steps. What action or change if any was made? Reflect upon the effectiveness of the management intervention. What is the ultimate outcome you want from the employee and for the unit? Did you achieve that outcome? Why or why not?

**Additional instructions about writing your papers:** Be certain to follow your outline in framing your writing that includes an opening paragraph stating your premise and the case you are going to make or situation you are going to describe. Provide specific information or examples
as the topic requires and include the minimum number of citations to support your commentary. Be sure to provide your final conclusions and/or recommendations in a final summation.

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Exemplary</th>
<th>Advanced</th>
<th>Beginning</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Grammar, Style, and Format</strong></td>
<td>Paper is generally free from errors in mechanics, usage and sentence structure; follows APA requirements and double space.</td>
<td>May have a few errors in mechanics, usage and sentence structure; follows APA requirements and double space.</td>
<td>Has serious errors in word choice, mechanics, usage and sentence structure; does not follow APA requirements and/or double space.</td>
</tr>
<tr>
<td><strong>Organization of content</strong></td>
<td>Information is presented in a logical and interesting sequence, which is easy to follow. Flows well.</td>
<td>Information is presented in logical sequence which can be followed.</td>
<td>Reader has difficulty following the flow of the paper because the content jumps around and lacks clear transitions.</td>
</tr>
<tr>
<td><strong>Content/Subject Knowledge</strong></td>
<td>An abundance of material clearly related to the assignment is presented in the paper. Points are clearly made and evidence is used to support claims.</td>
<td>Sufficient information with many good points made, connected to the topic, but lacking some clarity and evidence to support claims.</td>
<td>Insufficient information that is not clearly integrated or connected to the topic, or is generally unclear; information included does not support the premise or challenge presented as the central focus of the paper.</td>
</tr>
<tr>
<td></td>
<td>More than minimum inclusion of the literature through citations and references.</td>
<td>Minimum inclusion of the literature through citations and references.</td>
<td>Does not meet minimum inclusion of the literature through citations and references.</td>
</tr>
</tbody>
</table>
Thought-provoking references.

Synthesis of ideas

| Thought-provoking | Demonstrates understanding of the concepts and ideas addressed in the course and ability to apply to the premise/challenge of the paper. | Some demonstration of understanding the concepts and ideas addressed in class, and ability to apply to the premise/challenge of the paper. | Unable to demonstrate understanding the concepts and ideas addressed in class and ability to apply to the premise/challenge of the paper. |

Grading Criteria

<table>
<thead>
<tr>
<th>Participation and Class Assignments</th>
<th>Points</th>
<th>Due*</th>
</tr>
</thead>
<tbody>
<tr>
<td>Attendance and Engagement in Class Sessions</td>
<td>20</td>
<td>-</td>
</tr>
<tr>
<td>HR Interview</td>
<td>20</td>
<td>Friday, Jan 9</td>
</tr>
<tr>
<td>Chapter Summary with Video</td>
<td>20</td>
<td>Sunday, Jan 17</td>
</tr>
<tr>
<td>Outline and Topic Selection for Final Paper</td>
<td>10</td>
<td>Friday, Jan 23</td>
</tr>
<tr>
<td>Final Paper</td>
<td>30</td>
<td>Sunday, Feb 15</td>
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<tr>
<td>Total Points</td>
<td>100</td>
<td>-</td>
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</table>

*(All assignments must be submitted to the D2L drop box on the date indicated by 11:59 PM.)*

Extra Credit

*Extra credit will be awarded for early submission of the final paper as follows:

<table>
<thead>
<tr>
<th>Points Awarded</th>
<th>Time Received</th>
<th>Date Received</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>11:59 PM</td>
<td>Feb 10</td>
</tr>
<tr>
<td>2</td>
<td>11:59 PM</td>
<td>Feb 5</td>
</tr>
<tr>
<td>3</td>
<td>11:59 PM</td>
<td>Feb 1</td>
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</tbody>
</table>
Your final grade will be calculated based upon 100 points distributed as per the grading structure shown below.

<table>
<thead>
<tr>
<th>A-Grade</th>
<th>A</th>
<th>93-100 points</th>
<th>C-Grade</th>
<th>C+</th>
<th>77-79.9 points</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>A-</td>
<td>90-92.9 points</td>
<td></td>
<td>C</td>
<td>73-76.9 points</td>
</tr>
<tr>
<td>B-Grade</td>
<td>B+</td>
<td>87-91.9 points</td>
<td></td>
<td>C-</td>
<td>70-72.9 points</td>
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<tr>
<td></td>
<td>B</td>
<td>83-86.9 points</td>
<td>D-Grade</td>
<td>D+</td>
<td>67-69.9 points</td>
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<td>B-</td>
<td>80-82.9 points</td>
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<td>D</td>
<td>63-66.9 points</td>
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<td>D-</td>
<td>60-62.9 points</td>
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</tbody>
</table>
Organizational behavior is an arbitrarily defined subject, distinguished from management and administrative theory at USC for purposes of inquiry but not separated from them in either the study or practice of public administration. Public organizations (including non-governmental ones) are stressed, but private-sector experience is also studied. Also, contemporary networks and other variations on behavior contexts are examined. Differences in behaviors associated with public, private, and other contexts, where they are observable, and absence of such observed differences are basic topics.

Study of behavior requires inquiry about individuals, groups, and organizations, with attention to their interrelationships and relations with society generally. It draws on varied disciplines: philosophy, psychology, sociology, political science, biology, physiology, history, and anthropology, in particular. It also draws on such fields as law, medicine, engineering, and management. It ranges into religion, the arts, literature, and the full range of human endeavor and sloth.

In short, human behavior in public organizations is a challenging, dynamic, applied and generally interesting field. This course is designed in part to assist students in development of useful appreciation of limits and opportunities of being human. It has practical purposes: to strengthen students’ foundations for professional practice, research, and leisure in the field and related activities. Bottom-line objectives are to facilitate your understanding of people’s behaviors in organizational and related contexts and, in turn, to help you enhance your performance in varied roles, including personally and socially valued accomplishment.

Required Books:

Three books and one USC collection of readings are required for PPD 545. These may be purchased from the USC Bookstore:


**Related Books of Interest:**

The following books are identified as examples of useful sources, but they are **not required**. Included are some publications used in other USC courses that may be helpful in PPD 545.


Thomas Vulpe et al., *A Profile of the Interculturally Effective Person* (Ottawa, Canada: Centre for Intercultural Learning, Canadian Foreign Service Institute, 2nd ed., 2001).


**Course Outline:**

The following topics provide basic starting points for inquiry in this course, but the outline cannot be strictly followed. For example, at the end of the partial overviews of the field (set forth in the outline as the first two broad categories of subjects of class study), Part II-E calls for analysis of today’s disciplines and practices in this field (including relevant inputs from your own principal specialty). On day two, students will help to lead that discussion, relying on short papers prepared for class (as noted in that part of this syllabus and in the later section on written assignments). That broadly important inquiry cannot be elaborated upon in this outline. During the second series of classes, the subjects identified in Parts I and II will again be examined. In short, flexibility in times for study of topics in class sessions is required. Nonetheless, Modules One and Two are identified in the outline, with the understanding that course materials will not be strictly divided as shown.

Most assigned readings are in the required books listed above. For those in the *PPD 545 Readings*, only short titles and numbers are used in this outline. Some illustrative items will be distributed in class, and students will (hopefully) bring others. A few publications may be searched for electronically, in libraries or elsewhere (including governmental and other organizations). You are not expected to read all assignments word-for-word. Study them. Learn your human capacities and limitations.

**Module One**

I. Organizational Behavior as a Field of Practice: An Overview

A. Contemporary Fragments about Being Human and about Challenges for Organizations

B. Overview of the Field
   Ott et al., pp.1-28.

C. Organization Behavior and the Public Interest
II. Varied Disciplines, Interests, and Perspectives on “Fundamentals.” Structures, Personality, Perceptions, Beliefs, Learning, and Behaviors

A. Rationality or ???: Economics and/or Psychology?
   3. Personality!

B. Reasonableness or ???: Optimism about Human Behavior and Transformational Ideals and/or Pessimism, Human Misbehavior, and Transactional Realities?
   2. Ott et al., Article 5.
   4. Perception?

C. Culture, Faiths, or ???: Human Being or Becoming or . . . ?
   2. Carolyn Ball and Akhlaque Haque, Diversity in Religious Practice,“ in 545 Readings, #10.
   6. Beliefs!

D. Hierarchy or ???: Bureaucracy and/or Alternatives? . . . Alternatives! Variations?
   1. Ott et al., Articles 26 & 27.
   3. Behaviors in networks are among variations/alternatives studied later. See 545 Readings #35 & #36.
   4. Organizational Boxes, Boundaries, or ??? Collaboration?

E. Discipline and Disciplines or ???:Disconnected Concepts and Actions and or Theory-Grounded Practicality? Experience? Learning! Advanced Knowledge Culture?

On Thursday, 20 May, each student is to submit a copy of three double-spaced, one-page papers (no more than three total pages will be accepted) for duplication by USC and distribution to other students in the class. In the paper, please identify your own basic discipline or field (engineering, anthropology, criminal justice, political science, business, sociology, history, etc.) and briefly analyze
one useful publication not included in this syllabus (such as a journal article, book, or governmental publication) from that discipline/field that contributes to understanding of organization behavior. In the **second one-page paper**, please identify a second discipline or field of importance to you. Again, briefly analyze one useful publication (not in course assignments) from that specialty that contributes to understanding of human behavior in organizations. In a **third one-page paper**, please identify one major subtopic of organization behavior (as identified in Parts III - XIII of this syllabus) and briefly summarize one research-based publication that is relevant to that topic that is not included in this syllabus or the assigned books.

Please do not staple the three pages, since all will be duplicated (in alphabetical order of students’ names) for distribution. Please put your name at the top of each one-page paper and paperclip the pages in the order of the three assigned topics.

III. Human Beings and Human (Inhuman?) Organizations

A. Individuals and/or Social Beings. Self Management? *Place* and Community Values?
   1. DD&A, Chapter 2.
   2. Values of *Place* and *Planet* (Localization and Globalization).

B. Being in Organizations: *Being!* Decaying? Self Actualizing? . . . in Organizations?
   2. Film: *Why Man Creates*.

C. What is Being Human?

IV. Decision Making


B. Early Debates
   1. Please review *545 Readings*, # 5 & 6.
C. Other Classic Formulations
   3. Mixed-Scanning Model; Garbage Can Model; Whatever?

D. Decision-Making Technologies and Systems

V. Motivation Theories and Practices

A. Textbook Treatments
   1. DD&A, Chapter 6.
   2. Ott et al., Pages 132 -141 and Articles 10 - 17.

B. Public Employee Motivations
      545 Readings, # 20.
      in 545 Readings, #21.
      Relationship in the U.K. Public Sector,” in 545 Readings, # 23

C. Organizations and Markets
   2. The World Bank, Building Institutions for Markets. This book is listed among
      those recommended above. It is not required, but it will be noted in class.
   3. Again consider John DiLulio’s article in the 545 Readings, # 7.

VI. Management and Leadership

A. Textbook Frameworks
   1. DD&A, Chapter 7.
   2. Ott et al., Pages 29 - 41 and Articles 1 - 4 and 6 - 9.
   3. Fred E. Fiedler and Martin M. Chemers, Leadership and Effective Management
      (Glenview, IL: Scott, Foresman and Co., 1974). This old book will be
      noted here for historical perspectives on research and concepts in the field.

B. Transactional and/or Transformational Leadership
   Ott et al., Article 5.

C. New Public Management and Managerialism

VII. Power and Influence; Authority, Community, and Reasonableness.

A. Textbook Frameworks
   1. DD&A, Chapter 8.
2. Ott et al., Pages 385 - 392 and Articles 32 - 36.

B. “Kissing Up”
Manfred F. R. Kets de Vries, “Folie a Deux,” in 545 Readings, # 26,

C. Authority and Responsibility — Social Capital

Module Two

Module Two topics will be touched upon in Module One and vice versa.

VIII. Communication


IX. Groups, Intergroup Behaviors, and Interpersonal Dynamics; Managing Conflicts

A. Group and Intergroup Behaviors
1. DD&A, Chapter 10.
2. Ott et al., Pages 220 - 231 and Articles 18 - 20 and 22 - 24; Ott et al., Pages 304 - 312 and Article 25. Note Articles 26 & 27, studied earlier.

B. Gender and Interethnic/Interracial Behaviors

C. Neutrality in Public Service

D. Age and Experience

E. Managing Conflicts
1. DD&A, Chapter 11.
2. Ott et al., Article 21.
F. Selected Contemporary Concerns

X. Organization Change

   A. Textbook Frameworks
      1. DD&A, Chapter 12.
      2. Ott et al., Pages 434 - 446 and Articles 37 - 44.

      1. Individual and Organizational Behavior Change Movements.

   C. Behavioral Change Technology

XI. Organization Culture Fragments

   A. Classic Fragments — Ott, Articles 28 - 31.

   B. Meaning and Emotion in Organization Behavior? Creating Culture? Stress! Success?

   C. Career Cultures versus Alternatives
      Reconsider 545 Readings # 7, 22, & 23.

   D. Organizations and Social Systems

   E. Comparative Studies
      Chester A. Newland, “Transformational Challenges in Central and Eastern Europe,” class handout.
XII. Boundary Spanning, Networks, and Post-Modern Contexts.

A. Boundary Spanning
   DD&A, Chapter 13.

B. Behaviors in Networks
      Management Research,” in 545 Readings, # 35.
   2. Kenneth J. Meier and Laurence J. O’Toole, “Managerial Strategies and
      Behavior in Networks,” in PUAD 585 Readings, # 36.

C. Post Positivism! Post Modernism!??

XIII. Enduring and Current Issues and Fashions in Public-Sector Organization Behaviors

A. Public Interests and Organization as a Moral Problem
   2. Codes of Conduct and Codes of Ethics.

   1. Suzanne Piotrowski and David Rosenbloom, “The Problem of Non-Mission-
      Based, Democratic-Constitutional Values in Results-Oriented Public
      Management,” in 545 Readings, # 37.
   2. Again note Herb Simon, in 545 Readings, # 5, James March, in 545 Readings,
      # 6, and John Dilulio, in 545 Readings, # 7.

C. Enduring and Changing Public-Sector Values and Disciplines in Human Behaviors
   1. Beryl Radin’s book, The Accountable Juggler, is not required in this course. It
      is a text in PPD 546. However, Donna Shalala, the HHS Secretary who is
      the key example in that book, merits study throughout this course as well.
   2. Disciplines of Constitutional Democracy and Human Behavior in
      Organizations and in Other Contexts.
   3. Behaviors/Misbehaviors; Human/Inhuman Behaviors in and out of
      Organizations; Transactional/Transformational Behaviors; Creativity,
      Productivity, Sloth, etc.

Written Assignments:

Three written assignments are required for this course, as follows:

1. On 20 May, please submit three one-page papers, as assigned in Part II of the course
   outline above (see pages 4 & 5). Carefully use a professional style of English composition.
   Doublespace and document in a standard format. Proofread. Each paper must be no more than
   one page long, for a total of three pages.
2. On 17 June, an examination of 120 minutes will be written in class. It will be a closed-book exam. You will write on any two topics that you select from not less than eight. Subjects will be discussed and clearly determined during the first series of classes. You may write in long hand or with a PC word-processor.

3. By 19 July, a two-part, final term paper of 19 to 24 double-spaced pages must be submitted (postmarked or express dated). Please do not submit email attachments. The first part (of around 14 to 16 pages) is to be an analysis of practical aspects of human behaviors in the organization where you now work (OR, if you are not now employed, in an organization where you formerly worked, OR in an organization where you hope to work, OR USC or a component organization of the University). You are to support this organization-behavior analysis with references to specific publications assigned in this course, and you may cite other relevant sources as well. The second part (of around 5 to 8 pages) is to be an analysis of self-assessment and/or professionally administered instruments “designed to assess/evaluate individuals.” Note that the assignment does not ask you to do a self assessment; instead, you are to evaluate self-assessment tools/instruments. For example, the DD&A book includes many assessment instruments. Also, the World-Wide Web is cluttered and/or blessed with such sites as www.iqtest.com, www.mensa.org, www.personalitipathways.com, and www.9types.com (some of which come and go faster than the lifetime of this syllabus). Also, educational institutions commonly provide student guidance centers that provide assessment services. No less than three-pages of outlines (or first drafts of your two-part paper) must be brought to class on 17 June for review with other students. Along with substantive contents and sources, correct English composition and professional appearance will be evaluation criteria for final term papers.

Class Sessions and Grading:

Classes will be in Lewis Hall (SPPD’s building) at the USC main campus in Los Angeles. The number of the room (probably on the second floor) will be posted on the first day in Lewis Hall. You may also inquire on the first day at the SPPD Student Affairs Office (RGL 108) or at RGL 312.

The first class on 20 May will start at 9:00 am and will end at 5:00 pm. Sessions on other days may be scheduled to start earlier (or to extend a bit later) for the convenience of students if the class wishes to do that to facilitate reduced traffic congestion and/or somewhat earlier Sunday departure schedules. Full class attendance is expected please.

As in other graduate/professional education, reasonable flexibility and responsibility are necessary in grading. As suggested earlier, it is beyond most human capacities to read in detail all of the assigned materials in this course. Instead, you are to study the materials reasonably, learning in the process about limits and capacities of being human. The examination will be evaluated as about 25 to 35 percent of the grade; the short papers and class participation will count as about 25 to 35 percent of the grade; the final two-part paper will count as about 35 to 50 percent of the grade. The basic standard will be the fundamental one of professional practice of public administration: a search for reasonableness.
Course Professor:

Chet Newland is the teacher for this course. He has been associated with USC since 1966 when not in other service. He is currently USC’s Duggan Professor of Public Administration. Twice he served as director of the Federal Executive Institute, and he was the initial director of the Lyndon Baines Johnson Library. He was the editor in chief of the Public Administration Review, 1984-1990. He is a past national president of the American Society for Public Administration, and he has been a member since 1975 of the congressionally chartered National Academy of Public Administration. He is an honorary member of the International City/County Management Association (ICMA), and he is currently a member of the Cal-ICMA general board. His international work outside of North America has included assignments in Bahrain, Bangladesh, Greece, Hungary, Kazakhstan, Korea, Kuwait, Poland, and Taiwan (ROC).

You may phone Chet Newland at 916-442-6911, ext. 24; fax to 916-444-7712; e-mail to newland@usc.edu; or stop by the USC Center, 1800 I Street, Sacramento, CA 95814-3004. During periods of the intensive-semester course, meetings in L.A. before and after class sessions should also be possible.

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Any student requesting academic accommodations based on a disability is required to register with Disability Services and Programs (DSP) each semester. A letter of verification for approved accommodations can be obtained from DSP, Office of Student Affairs, STU 301; University of Southern California; Los Angeles, CA 90089-0896. The phone number of DSP is 213-740-0776, and that office is open from 8:30 am to 5:00 pm Monday through Friday. Please be sure that the letter is delivered to me (the course professor) reasonably long before the start of intensive-semester classes.

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Please do not present gifts of any sort to USC faculty or staff.