



SWRK 703: Impacting Government: Policy Analysis & Coalition Building

***Fulfills MSSP Policy Analysis Requirement**

***Fulfills MSW Macro Practice Elective**

WEDNESDAY 4-6:30

Fall 2018

216 Fagin Hall

How to contact your Professor:

The best way to reach me is via email. Please indicate the reason you need to contact me in the subject line so that your email is not lost in my inbox. **If you do not receive a response within 48 hours please email me a second time. Emails sent over the weekend or on a holiday will be responded to on the next business day.**

Course Overview

Social policy as a subset of public policy focuses on issues of inequality and access to basic resources needed for decent and humane living. These issues also raise the question of distributive and redistributive policy, within which are questions of income security, health, housing, civil rights, social services and protective issues such as crime, child welfare and environmental protection. Among those who are affected by social policy are persons who are considered disadvantaged, including the poor, racial, ethnic and gender minorities, and persons considered disabled, but many others in the populace are affected as well. The choices made by a society are influenced by the social, political and economic context and the value tensions of the times.

Policy analysis requires an understanding of social problems/social issues and the processes by which policy is developed and implemented. Critical skills in many policy frameworks include: problem definition and analysis, review of relevant research, identification of possible actions, implementation and evaluation, and fiscal analysis. Competency in written and oral communication is also essential. To develop these and related skills, we will utilize as a base a dynamic social problem analysis framework that addresses issues of equity, equality and adequacy. We will also examine critical theoretical and analytical perspectives. Through the review of contemporary and historical social policy debates and provisions, selected case examples, and policy briefs, this course will provide students with an understanding of the policy roles of the legislative and executive branches of government, including goal setting, policy rulemaking, regulation and implementation, allocation of resources, and financing. The policy

process at state and local levels of government will also be addressed. The primary focus is on U.S. policy although global policies will be discussed when relevant.

COURSE OBJECTIVES: By the end of the semester, students will be able to:

- Conduct a critical analysis of social issues and social policies
- Describe how political, legislative and executive processes influence social policy and program development
- Use various social policy analysis frameworks, with understanding of their theoretical assumptions
- Craft a cogent argument for a particular policy option based on empirical data and social objectives
- Understand the competing values and ideologies that shape the policy development process and coalition building
- Understand the roles and relationships that exist among federal, state and local governments in the development and implementation of policy.
- Demonstrate knowledge of the range of social policies that are in place in this country
- Demonstrate beginning knowledge about how policy research and analysis forms the platform for different forms of policy-relevant communication, such as policy briefs, oral and written testimony, and use of social media

COURSE REQUIREMENTS

ATTENDANCE

Students are expected to attend all classes, be prepared to discuss assigned readings, and participate fully in class activities. The instructor should be advised in advance of anticipated absences and students may be expected to complete alternative assignments.

Students may have one “bye week” which can be used for any reason and for which they will incur no penalty. If you choose to use this option, make sure to communicate BY E-MAIL to the instructors that you are using your skip and the date for which you will be absent.

STUDENT CONDUCT

Students are expected to be familiar with and comply with the University of Pennsylvania's Code of Academic Integrity, which presents standards regarding plagiarism, multiple submissions and other actions. The Code can be found at www.upenn.edu/academicintegrity. **I expect all students to read and be responsible for the information in this Code. There is a special section of this website that addresses issues for international students.**

IMPROVE YOUR WRITING

Writing is an essential professional skill for policy analysis. Even the best writers have room for improvement. In some cases, instructors may suggest that students seek help with their writing; in other cases, students might decide on their own that professional help is in order. Penn’s Marks Family Writing Center has a variety of services for those who would like help with their writing (http://writing.upenn.edu/critical/writing_center).

ASSIGNMENT information is at the back of the syllabus

ELECTRONIC DEVICES

Smartphones, cell phones, I-Pods or any other electronic device that can distract from learning will not be used during class time. **Students who choose to use these devices in class will be asked to leave class and may not receive participation credit for that class session. Texting and/or using social media during class will result in a reduced final grade.** If you need to remain connected to a phone for on-call or emergency caregiving purposes, please communicate with faculty before the class begins.

GENERAL POLICIES ON ASSIGNMENTS

- All work completed by students, whether in class assignments or formal assignments, must be the student's own work. Faculty will check papers from electronic sites to assure that student's have not taken work off the internet or directly from text books. As indicated above, students must adhere to the University of Pennsylvania's Code of Academic Integrity. Unless otherwise specified, all assignments are to be submitted to the professor via email by the dates indicated at the end of the syllabus.
- **Technology malfunctions will not be accepted as reasons for late or incomplete work.** There are many, many ways to back up your work for free or a small cost. Please speak to me if you do not know how to do this. Storing your papers on your hard drive only is a path to computer disaster. Make sure you back it up in multiple ways.
- **Paper extensions are rare and only occur in the most unusual circumstances** (e.g. death in the family, your house burns down, you or an immediate family member are in the hospital). The key to balancing your course work is staying organized and on top of your deadlines.
- **Dual paper dates.** If you have a paper due for another course at the same time as this one please speak to me ASAP and I will offer you a different due date for the assignment in my course. **Please do not hesitate to take advantage of this option** as I prefer you focus on a single assignment at a time. However, these requests must be made early in the semester.

STUDENT SUPPORT

Your classmates represent one of your best resources both within the program and post-graduation. You are strongly encouraged to communicate with each other about assignments. While each paper will differ based on focus area, it is very helpful to have an outside opinion on your work.

READINGS

REQUIRED TEXTS: Available at the Penn Book Store at 36th and Walnut. Be sure to get the specified editions of all texts.

Bardach, E. (2012). *A practical guide for policy analysis: The eightfold path to more effective problem solving*, 4th ed. Washington, DC: Congressional Quarterly Press.
**5th edition pages are noted on the syllabus ONLY when they differ from 4th edition (The appendix sections are the same for both editions, no page numbers noted). Either edition will work for this class.

Kingdon, J.W. (2011). *Agendas, Alternatives, and Public Policies*, Updated 2nd ed. Boston, MA: Longman.

Recommended resources for your policy work, now & future:

Committee on Ways and Means, U.S. House of Representatives, GREEN BOOK (2012).
Online at: <http://greenbook.waysandmeans.house.gov>

U.S. Census Bureau. (2011) *Statistical abstract of the United States: 2012* Washington, DC: Author.

Online at: <http://www.census.gov/compendia/statab>

Access various data sources through the "Sources of Data" link on the main page.

****Any readings outside of the textbooks will be posted to canvas in the module for that week****

****There is a very robust bank of articles and resources on canvas that you may utilize for your papers and future policy work. Please take advantage of these and download them for future use beyond the program. Many graduates use these resources in their internships, field, and in preparing their application materials for law school and PhD programs. ****

Newspapers and periodicals: Students are expected to read local and national newspapers on a daily basis and to track social issues, policy developments and the social context. Local papers include the Philadelphia Inquirer, Philadelphia Daily News, and Philadelphia Tribune. National papers include the New York Times, The Washington Post, The Wall Street Journal, Los Angeles Times and the Washington Times. An international paper (if accessible online) is also encouraged, at least from time to time.

*****BRING THE WEEK'S READINGS TO CLASS EACH WEEK*****
****READ THE WEEK'S READINGS IN ORDER on the SYLLABUS****

Course Topics and Readings

I. Scope of Social Problems, Social Policy and Policy Analysis (What is it?)

August 29, 2018 (Week 1): Course Overview and Contextual Framework

Course Overview

Boundaries of Social Policy
Key Concepts

Kingdon, Chapter 1, "How Does an Idea's Time Come?"

*this chapter is on Canvas in case you have not yet purchased the book, the remainder will not be

Policy Writing Document.

For next week (Week 2) – Bring 8 copies of a couple of lines (at most a paragraph) about your initial “social problem definition” for Assignment #1 to class. (Can put all on one page & cut into pieces). Do NOT expect this initial definition to be final.

September 5, 2018 (Week 2): Social Problems & Policy Actors

Internal Actors

External Actors

Framing & Defining a Problem

Kingdon: Chapter 2, “Participants on the Inside of Government”

Kingdon: Chapter 3, “Outside of Government, but Not Just Looking In”

Bardach: "Introduction" (pp. xv to xx) and "Part I" (pp.1 to 11)

*5TH EDITION: Introduction (same), Part I (pp. 1 to 12)

Kingdon, Chapter 5, “Problems”

TANF Legislation. We will be using TANF as a policy case study throughout the fall. You do not need to read it in-depth for week 2, but do familiarize yourself with it.

Constitution—Familiarize yourself.

September 12 2018 (Week 3): Critical Theoretical & Analytic Questions about Policy Goals-

Who Benefits?

What do eligible people get?

Who Pays?

Who Administers?

Gilbert, N. & Terrell, P. (2010). *Dimensions of social welfare policy*, 7th ed.
Boston: Allyn & Bacon.
Chapter 4, "Basis of Social Allocations"
Chapter 5, "Nature of Social Provision"

Page, M. (2017). Forgotten Youth: Homeless LGBT Youth of Color and the Runaway and Homeless Youth Act. *Northwestern Journal of Law & Social Policy*, 2(2).

Bardach, Appendix C

PAPER ONE DUE SUNDAY SEPTEMBER 16TH AT MIDNIGHT VIA EMAIL TO BOTH FACULTY

September 19, 2018: (Week 4) Current Economic Context

Financialization
Wealth Gap
Lack of Affordable Housing

Aalbers, M.B. (2017). Corporate financialization. In Richardson, D., Castree, N., Goodchild, M.F., Kobayashi, A., Liu, W. & Marston, R. (Eds.) *International Encyclopedia of Geography*.

Fields, D. Unwilling Subjects of Financialization.

Darity, W., Hamilton, D., Paul, M., Aja, A., Price, A., Moore, A., & Chiopris, C. (2018). *What we get wrong about closing the racial wealth gap*. Durham, NC: Samuel DuBois Cook Center on Social Equality & Insight Center for Community Economic Development.

September 26, 2018 (Week 5): Values & Ideology

Ideology and the Political Process
Identifying Ideology
Ideology as Leverage

Harvey, D. (2005). *Neoliberalism: A brief history*. New York: Oxford University

Press (Selections)

Mullaly, R. (1997). *Structural social work: Ideology, theory and practice*. New York: Oxford University Press (Selections)

October 3, 2018 (Week 6): Policy Stream

Bardach: "Appendix D"

Kingdon, Chapter 6, "The Policy Primeval Soup" (about The Policy Stream)

Oleszek, W. (2014). Chapter 3, "Preliminary Legislative Action," in *Congressional Procedures and the Policy Process*. Washington, DC: CQ Press

PAPER TWO DUE SUNDAY OCTOBER 14TH AT MIDNIGHT TO BOTH FACULTY VIA EMAIL

October 10, 2018 (Week 7): Political Stream

The Political Stream
National Mood
Organized Forces
Consensus Building

Kingdon, Chapter 7, "The Political Stream"

Nelson, D., & Lackee, S.W. (2012). Lobbying coalitions and government policy change: An analysis of federal agency rulemaking. *The Journal of Politics*, 74, (2).

Durr, R.H. (1993). What moves policy sentiment? *American Political Science Review*, 87 (1).

Legislative Process Flowchart (one page chart)

Web Legislative Resources (for your information--just check them out to see what is there. These are not required reading -- they are really rich resources for your papers and future policy work.)

1) Congressional Record: ^[SEP]The Congressional Record provides daily and historic details of Senate and House proceedings, chamber activities, committee meetings, days bills were discussed and with more details, etc. ^[SEP]<http://thomas.loc.gov/home/thomas.php>

2) www.thecapitol.net – for training and publications about how government works and such topics as how to prepare and deliver testimony, advocacy, etc. (at a cost)

3) Glossary of Congressional and legislative terms <http://www.thecapitol.net/glossary>

4) Glossary of terms used in the federal budget process – 182-page report www.gao.gov/new.items/d05734sp.pdf

II. Social Policy Development Processes (How does it Develop?)

October 17, 2018 (Week 8): Meet at Van Pelt- Collaborative Classroom Room #113

Tracking Legislation & Gathering Data

Hairston, P. (2007). Tracking current federal legislation and regulations: A guide to resources. Washington, DC: Congressional Research Service.

Thomas Study Guide- Handout on how to use the Library of Congress

October 24, 2018 (Week 9): Regulation and Rulemaking

Structure and function of executive agencies

Rulemaking and the regulatory process

Program monitoring

Reporting to legislative bodies

OMB Watch. Background on the Rulemaking Process.

OMB Watch. (2007). Regulatory Flowchart

Lipsky, M. 2014. Rulemaking as a tool of democracy. New York: Dēmos.

Nelson, D. & Yackee, S.W. (2012). Lobbying coalitions and government policy change: An analysis of federal agency rulemaking. *The Journal of Politics*, 74(2), 339-353.

APA Style - Citation & Reference style for Federal Regulations

OPTIONAL (further description of the regulatory process for your future reference)

Kerwin, C. M. & Furlong, S.R. (2011). *Rulemaking: How government agencies write law and make policy* (4th Ed.), Chapter 1 & Chapter 2. Washington, DC: CQ Press.

**PAPER THREE DUE SUNDAY OCTOBER 28TH AT MIDNIGHT TO BOTH
FACULTY VIA EMAIL**

III. Policy Implementation and Coalition Building

October 31, 2018 (Week 10): Fiscal Federalism & Interviewing

Federalism

Fiscal relationships

Assembling Evidence

Edwards, C. (2013). Fiscal federalism.

Kelly, N.J. & Witko, C. (2012). Federalism and American inequality. *The Journal of Politics*, 74(2), 414-426.

Identifying federal, state and local government bodies.
<http://www.citmedialaw.org/print/1388>

Bardach, "Part II" (pp. 79-107)
**5th EDITION: "Part II" (pp. 83-111)

UCLA Center for Health Policy Research. (nd) Section 4. Key informant interviews—

Owen, C. (2012, April 30). Interviewing skills for qualitative research. *Inside Higher Ed.* www.insidehighered.com.

November 7, 2018 (Week 11): Policy Windows & Implementation

Kingdon, Chapter 8, "The Policy Window, and Joining the Streams"

Iversen, R. R. (2000). TANF policy implementation: The invisible barrier. *Journal of Sociology and Social Welfare*, 27(2), 139-159.

Bardach, Part I (pp. 47-78), Steps 5, 6, 7 & 8; "Appendix B"
**5th EDITION: Part I (pp. 46-82) "Steps 5, 6, 7 & 8"; "Appendix B" (same)

PAPER FOUR DUE SUNDAY NOVEMBER 11TH AT MIDNIGHT TO BOTH FACULTY VIA EMAIL

November 14, 2018 (Week 12): Alternative Models

White, L.G. (1994). Policy analysis as discourse. *Journal of Policy Analysis and Management*, 13(3), 506-525.

Jenkins-Smith, H.C. et. al. (2014). The Advocacy Coalition Framework: Foundations, Evolution, and Ongoing Research. Chapter 6.

November 28, 2018 (Week 13): Stakeholder Analysis Workshop

Workshop materials will be distributed the week prior.

December 5, 2018 (Week 14): Message Box Workshop

Workshop materials will be distributed the week prior.

**FINAL PAPER DUE SUNDAY DECEMBER 9TH AT MIDNIGHT TO BOTH
FACULTY VIA EMAIL**

ASSIGNMENTS

The five required assignments during the semester provide students with an opportunity to integrate knowledge and skills related to policy issues and the policymaking process while fostering knowledge about a social policy area of interest. In many cases, this will be an area in which you plan to work in the future; in other cases, this will be an area you want to explore. To help deepen your knowledge and analytic skill, the assignments have been designed to contribute to the final paper. Independent research is required and

assignments should integrate the concepts from class reading and lecture materials. Written assignments are due electronically at midnight on the date indicated. Assignments will be evaluated based on their completeness, the quality of the work, the clarity of expression, and the use of the literature to support the analysis.

Papers must be typed in 12-point font, double-spaced, flush left/ragged right format (like this paragraph), and preferably utilize APA citation and reference format. The guidelines are found in the *Publication Manual of the American Psychological Association*, 6th edition (www.apastyle.org). Additional information about APA format is available in the Course Information module of the Canvas site. If you use a citation and reference format other than APA, identify it on all papers.

IMPORTANT *For all written assignments:**

1. Put your name, assignment number, date, and automatic page number in the header or footer for ALL pages.
2. Submit each assignment to **BOTH** Dr. Baker and Professor Contrera electronically.
3. **LIST THE PAPER and your last name in the subject line of the email.**
Re: If it were me submitting, the subject line would look like the following: **(Baker- Assignment 1, Social Problem)**

3. Pay strict attention to page limit requirements. You will be docked points for going over the page limit.

Missing or coming late to class to complete an assignment will result in a lower grade on the assignment.

Credit will not be given for late assignments unless the student has made prior arrangements with the instructor.

GRADING POLICY

The final course grade reflects the extent to which each student has incorporated the requisite knowledge and analytic skills into assignments. The final grade is based on a composite of the student's performance in class and on written assignments and will be weighted in the following manner:

Class Participation and Presentation (10%)

- Assignment 1 – Social Problem Identification and Initial Analysis (10%)
- Assignment 2 – Historical Evolution and Current Context of the Problem (10%)
- Assignment 3 – Theoretical, Empirical and Advocacy Perspectives (15%)
- Assignment 4 – Administrative Challenges (15%)
- Assignment 5- Comprehensive Policy Analysis, Policy Proposal and Legislative Strategy (40%)

General Assignment: 2 students per week: Each will bring to class ONE relatively recent policy brief or media article or other reference that is relevant to the content of the week's readings and discuss it with the class for a maximum of 5 minutes, linking it with an issue in the readings. I will assign dates in the first class. (Weeks 2, 4, 5, 6, 7, 8, 9, 10, 11, 12)

Assignment 1: Social Problem Identification and Initial Analysis (6 pages including sources)

Due: September 16th, 2018

Before you begin this assignment, identify a policy area that will be of interest to you for all the assignments. Your policy area should be a substantive area, not a policy per se. Examples of areas include violence, discrimination, poverty, income security, health care, education, economic development, among others. You should focus your policy topic area on a particular population (for example, persons with disabilities, children, a racial or ethnic group, and immigrants, among others).

For Assignment #1, identify a social problem within your area of policy interest. For example, if the area is “family violence,” a problem might be “too many/ an increasing number of families experience domestic partner violence.” You may define a social problem in another country, but be aware that some of the assignments will be more difficult because the elements of these assignments pertain to US history and policy.

- Provide an initial definition of your problem in the introduction and then amplify it with the rest of the elements below.
- Examine and document various ways that the social problem you have identified has been defined, including views that do not consider your social problem a “problem.”
- Document the groups and subgroups affected by the problem and any differential impact on them: for example, by age, race/ethnicity, income, gender, sexual orientation, disability status, or other demographic characteristic.
- Document the major factors that are believed to cause or contribute to the problem.
- Briefly describe the current policies designed to address the social problem, including the goals, benefits provided and eligibility

requirements. [[IF your problem definition is not focused narrowly enough, you will likely have problems adequately addressing this section]]

[[See Bardach, “Step 1” pp. 1-11; Kingdon, Chapter 5]]

Assignment 2: Historical Evolution and Current Context of the Problem (6-8 pages including sources)

Due: October 14th, 2018

Social problems often have a long history that includes perspectives and critical choices which, although made in the past, continue to influence current policy development. This paper requires you to understand the historical evolution of your social problem and its related policies.

- When did this problem first emerge as a **public concern**?
- For **each major era (prior to the contemporary view)** in which policy choices were made, describe:
 - How was the problem defined?
 - What social values were threatened by the problem?
 - What policy strategy or strategies were chosen?
 - What assumptions and values were reflected in the choices?
 - How did social, economic and political factors influence the choices?
- Contemporary view:
 - How is the problem framed today?
 - What factors in the current social environment influence how this problem is viewed?
 - What are the major controversies today?

Conclude with a brief description of how all these pieces of information affect your definition of the “problem” and what your problem definition is now (it may be the same as or different from your definition in assignment #1).

[[See Bardach, “Step 2” pp. 11-16; 5th EDITION pp. 12-18]]

Assignment 3: Empirical, Theoretical, and Advocacy Perspectives (6-8 - pages including sources)

Due: October 28th, 2018

Prepare a literature review to inform the possible policy choices related to the social problem that you defined at the end of assignment #2 or the definition that you are now using. Be sure to provide your current social problem definition at the beginning of this paper. Your review should include literature and analyses that address:

- Empirical knowledge used to understand the problem and its contributing factors. {Empirical knowledge can include any program evaluations that resulted from the policy choices defined in assignment #2 if they're available, but many times such evaluations are not available}
- Social, economic, or behavioral theory frameworks (not policy theory/ frameworks) that are used to explain the problem (these may be explicit or implicit in the literature)
- The advocacy positions of key stakeholders (including opposing positions)

Based on this analysis identify and briefly describe three (3) relevant current policy choices:

- 1) "Policy choices" refers to existing policies. Later, in assignment #5 you may propose modifications and/or look at alternatives to current policy that might better achieve the desired goals, but not here.
- 2) If there are no existing policies, develop options based on the most recent research and points of controversy that have been identified.

[[*See Kingdon, Chapter 3*]]

Assignment 4: Administrative Challenges (6-8 pages including sources)

Due: November 11th, 2018

Executive agencies, such as the US Department of Education (e.g. No Child Left Behind legislation) or US Department of Health & Human Services's Administration for Children & Families (e.g. TANF legislation) have responsibility for the implementation of policy. Their effectiveness is a function of the policy itself and the regulatory and administrative decisions that are made to structure the programs. For the three possible policy choices that you identified in assignment #3:

Describe the strengths and weakness of the implementation process.
Describe the regulations, program design, organizational capacity and interaction with other policies and evaluations.

***Be sure to begin your paper with your social problem statement.

[[See Bardach, Appendices B, C & D; Kingdon, Chapter 4; Iversen, 2000, in Wk 11]]

Assignment 5: Comprehensive Policy Analysis, Policy Proposal and Legislative Strategy (no more than 16 narrative pages plus references)

Due: December 9th, 2018

Based on your work this semester, prepare a comprehensive policy analysis and policy proposal and describe a potential legislative path for your proposal. NOTE: This type of paper is commonly used as background for construction of a policy brief, and oral or written testimony.

The paper should first summarize the critical aspects of the first four assignments, as asked for in # 1-4 below.

1. The nature of the social problem/social issue that your proposal will address
 - definition
 - scope of the problem
 - who is affected
2. What research tells us about the problem and possible solutions
3. The visible stakeholders, their interest and position
4. Discuss the 3 policies you presented in assignment #4. Summarize two of the policies briefly. Then describe the policy you choose to change or amend in more detail, in relation to the policy's:
 - goals
 - provisions
 - values underlying the strategy (especially equity, equality, adequacy)
 - who gets what -- benefits and allocation principles
 - service delivery strategy
 - financing strategy

****The majority of the paper should discuss #5 and #6 in depth.**

5. Discuss the change you would recommend to your policy choice (from #4 above) (e.g. an extension of a current policy; a deletion from a current policy), and the rationale for selection (e.g. why your changes might help the policy better achieve the desired goals)

6. Legislative path for your recommended change:
 - Who might sponsor the proposal?
 - What committees have jurisdiction?
 - How does the composition of the committees and the legislative houses foster or impede the possible passage of the legislation?
 - How does the social context contribute/detract from possible passage?
 - What groups might be mobilized to support the passage?
 - What opposition needs to be addressed?
 - What influence strategies might be needed to secure passage?

[[See Bardach, especially Appendix D; all of Kingdon]]