Policy Implementation and Innovation – UEP 275
Spring 2019
INITIAL VERSION

Wednesdays 6:00-9:00 pm
97 Talbot Ave classroom

Instructor: Laurie Goldman, Ph.D.
laurie.goldman@tufts.edu (617) 627-5053
Department of Urban and Environmental Policy and Planning, Tufts University
72 Professors Row, 2nd Floor
Office Hours: Mondays, 3:00-4:30 and by appointment (Link for signing up. Email Laurie if none of the times work for you.)

Course Objectives:
This course is about translating visions for urban, environmental, and social policies and programs into practice. Three central questions guide our inquiry:
1. Who is responsible for carrying out policies and programs and what does it mean to be account for implementation success?
2. What challenges impede successful policy and program implementation?
3. How can we devise and adopt innovative solutions to these challenges to help realized desired outcomes?

We address these questions while wrestling with the tension between fidelity to initial designs and creativity to pursue results that matter to key stakeholders and that work in practice as well as in theory.

The first several sessions equip students with frameworks for identifying implementation challenges and understand what’s at stake in efforts to address them. The remainder of the course introduces a tool kit of creative problem-solving strategies:
• for aligning individuals’ and organizations’ actions with the goals
• for exploring, developing, and adopting innovative ideas
• for coordinating and collaborating with diverse policy actors
• for persuading critical actors to embrace novel ideas with commitment (and perhaps even enthusiasm)

We examine these strategies while paying attention to interactions among actors who span public, nonprofit, and public sectors; cross national, state, and local levels; and bridge policy domains.

Format and Expectations:
We make use of a mix of readings, case analyses, short lectures, discussions, and exercises as well as written assignments that build on one another as you develop working knowledge of the course themes.
**Your “Cases” from the Field:** In addition to the assigned course materials, each participant will focus on a specific policy, program, plan or initiative of her or his choosing. These “cases” serve as a filter for reflecting on the readings and issues that arise in class discussions. Writing assignments are opportunities to elaborate on the insights gleaned through the examination of these “cases.”

**Additional Guidance for Selecting Cases:** Choose an example that provides you with an opportunity to examine the course themes in relation to a policy or planning field, type of intervention, and organization/s you want to understand better. The case should reflect at least one of the following statements:

1. **You know it well:** the goals and objectives, intended target population/s, core activities and who carries them out, and what happened, is happening, or what plans are in place to make it happen.

2. **The implementation process of the project/program/initiative has been well documented.**

3. **An idea** that you think should be implemented. This would be a **theory driven** exploration that examines anticipated implementation challenges and looks to employ the strategies in advance. Choose this option only if you a) know a lot about the idea, the policy domain, and relevant actors and b) you want to engage in a more theoretical exploration, application, (and critique) of the strategies.

**Readings:** Assigned readings draw from academic scholarship and publications geared to professionals who work in public, nonprofit, and (less frequently) private sector organizations. They will introduce us to the strategies and help us examine them critically to understand their limitations and their utility as well as to discern when they are more likely to be effective.

Reading requirements for this course reflect the norms of a graduate level course. The assignments assume a general understanding of the policymaking process yet do not require any particular prior basis of knowledge. Those who are more familiar with the material are encouraged to read the optional, recommended readings. All of you are expected to read purposely rather than passively. It is more important to engage the readings so that you learn from the experience of reading than to be able to summarize every point.

All of the required readings will be posted on the Canvas site for the class, either as links to electronic sources or as downloadable “pdf” files. Additional references on each of the course themes will be posted on the Canvas site. I will modify the reading selections throughout the course in response to students’ specific interests and the topics that emerge in the discussions.

Students are responsible for identifying sources for their individual cases with guidance from me, as needed.

---

1 An example that draws on your past or current work experience would be wonderful. It may be a good idea to choose a topic you are exploring for your thesis or for another class project. Be sure to communicate with Laurie about your choice before completing preparation of the first response paper.
Two Options for Written Assignments: There are two options for fulfilling the writing assignments. Both afford you the opportunity to reflect critically on the course themes in relation to the policy, plan, program, or initiative you have chosen for your focus.

Option 1: Three Response Papers and a Proposal for Action or Further Inquiry

Paper 1 – “Case” Description and Implementation Challenges: The first response paper will describe your “case” – the policy, program, or initiative – including its core activities, intended target population/s, and desired outcomes as well as key factors of the context in which it is implemented. You will identify implementation challenges as well as the relevant stakeholders whose perspectives matter for determining implementation success and who might participate in addressing the challenges.

Papers 2 and 3 – Application of Implementation and Innovation Strategies to Your Case
The second and third response papers will each examine one of the creative problem solving strategies in light of one or more of these implementation challenges and/or latent opportunities for achieving desired outcomes relevant to your case. Strong papers will also elaborate or critique arguments raised in the readings and discussions or explore tensions or tradeoffs among alternative approaches.

Improving Performance (Paper 2): You will examine a strategy for encouraging key actors to carry out the core activities so that they better meet the expectations. You will draw on the concepts from the readings and discussion about incentives or sanctions, performance measurement, and/or learning processes.

Diffusion and Adaptation of an Innovation or Collaboration (Paper 3): You will explore the adaptation of an innovation to the context of your case, OR the scaling up of your program or policy in additional contexts, OR approaches to collaboration.

Proposal for Action or Further Inquiry (Final Paper): The final assignment is a proposal for action or further inquiry that synthesizes the ideas you explored in your responses papers in addition to other relevant themes discussed throughout the course. A proposal for action identifies desired outcomes and procedural objectives, the anticipated challenges for achieving them, the recommended strategies for addressing the challenges, and the roles of each of the actors to be involved in carrying it out. A proposal for further inquiry presents your analysis of the challenges and potential solutions and then details a process for investigating which options are most promising.

It is strongly recommended that you focus on the same case for each of the first three assignments. This will facilitate your preparations for the project proposal due at the end of the term. However, you may focus on different aspects of the case for each assignment or you may choose an entirely different case if you think it will allow you to explore a particular theme in greater depth.

Detailed guidelines for each of these assignments will be distributed as the deadlines approach. See the chart below for due dates, all of which are on Friday afternoons.
**Option 2: Research Paper**  (A good option for those exploring a UEP thesis topic or for those who do not have experience in their field of interest.)

This option is for students interested in examining an implementation or innovation issue in greater depth. The paper should examine the theoretical assumptions underlying a problem-solving strategy, either one introduced in class or another strategy. In either case, analysis should reference additional readings on the theme of focus beyond those required for the class discussions.

Papers should explore a specific policy, program, plan, or organizational initiative to ground the theoretical analysis. You may also take a comparative approach to examine two related cases that exhibit responses to the same strategy, contextual factors, or other dimensions of the research question.

Students pursuing this single-paper option should submit Assignment #1 to identify the case to be explored and the array of implementation challenges it poses for further exploration. The final paper will be due on the same date as the Proposals for Option 1. You must also submit memos to me on each of the due dates for the response papers of the other option to demonstrate your progress on the paper and raise questions or dilemmas you have encountered thus far for my feedback and suggestions. The paper will be worth 80% of the grade for the course. (I will give you comments on the initial implementation analysis and memos but will not grade those interim assignments.)

**Schedule of Written Assignments**

<table>
<thead>
<tr>
<th>Assignment</th>
<th>Due Date</th>
<th>% of Grade</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case Analysis Paper #1</td>
<td>Feb. 15</td>
<td>20%</td>
</tr>
<tr>
<td>Case description, analysis of implementation challenges, and accountability analysis (5-7 pages, including diagrams)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Case Analysis Paper #2</td>
<td>March 8</td>
<td>20%</td>
</tr>
<tr>
<td>Critical application of a strategy for improving performance (5-7 pages)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Case Analysis Paper #3</td>
<td>April 12</td>
<td>20%</td>
</tr>
<tr>
<td>Critical application of diffusion or adaptation of an innovation or collaboration (5-7 pages)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Final Project</td>
<td>May 3</td>
<td>20%</td>
</tr>
<tr>
<td>Project Proposal (15-20 pages, plus appendices) or Research Paper (20-25 pages)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Reading reflections</td>
<td>see below</td>
<td>Weekly 10%</td>
</tr>
<tr>
<td>Contribution to discussions</td>
<td>see below</td>
<td>weekly 5%</td>
</tr>
<tr>
<td>Class presentation/s</td>
<td>see below</td>
<td>T.B.A. 5%</td>
</tr>
</tbody>
</table>

All papers should be uploaded to the Assignments folder on the Canvas site by 5pm on Fridays. Please format them as pdf documents, with 12 point font, 1 inch margins, and 1.5 line spacing. Be sure to include your name and page numbers! (I may not read papers that do not meet these specifications.)
Preparation and Participation: Because the objective of the course is to help you develop management skills, active participation in each of its dimensions is essential.

All assignments must be completed by the due dates. Timely submission is critical to class discussion and sequential development of the course material. I may consider accepting late submissions based on a plan the student will devise and submit to detail how she or he will compensate for the impact of delayed completion on the class learning process, other course work and life obligations, and my capacity to provide useful feedback on the work.

- Weekly Insights/Question Reflections: To facilitate vibrant class discussion, all course participants will post to the Canvas Discussion Board a brief reflection (no more than 300 words) on the readings by 4pm on the day of the class meeting. You can raise questions about the readings, share insights or critiques about a claim the authors have raised (or overlooked), surface a tension among the readings, or explore a connection to the case you have chosen to explore in the class. Occasionally, I will provide specific guidelines for these reflections. Do not summarize the readings.

In addition, each student will comment on one (or more) of the other student’s reflections either before the class session (preferable) or after the class discussion.

These reflection pieces will count for 10% of the grade for the course. The reflections will not be graded on a per-submission basis. Rather, the grade will reflect the insightfulness and timeliness of the submissions throughout the semester. (You may choose to skip one response during the semester.)

- Active Participation in Class Discussions: Class discussions provide a valuable opportunity to digest and elaborate on the ideas presented in the readings, presentations, and explorations of your interest area. I’m interested in your contributions to the quality of entire the class discussion rather than the quantity of your comments. Strive to engage other class participants in mutual exploration. Raising a probing question and observing connections among other students’ comments is as critical as sharing your own insights.

The skills of communicating clearly and listening actively are among the most important for effective management. Thus the quality of your contributions to the discussion will determine 5% of your grade for the course. This grade will be assessed in three ways: a) your own assessment of your performance and how your skills have developed over the course; b) participants’ collective assessment of the quality of class discussions; c) my synthesis of your contributions and improvements.

- Presentations and Facilitation: You will practice the skills of presenting your ideas and eliciting constructive feedback in conjunction with each of written assignments. We will discuss the logistics of these responsibilities after the first few sessions.
The Course as a Case of “Creative Implementation”:
The course is also intended as a project we will implement together over the span of the semester. This syllabus and the activities it describes represent the initial design and strategy for reaching the objective of learning about policy implementation and innovation. Consistent with the approach to implementation we will be studying in the course, it will evolve over the course of the semester in response to the developing interests, capabilities, and perspectives of the core stakeholders – You!

The ideas of responsibility, expertise, and capacity development apply to each of us. As the instructor, I am responsible for providing illuminating readings, exercises, and assignments and for presenting additional conceptual handles to facilitate our collective inquiry. Yet the contributions of each of you are equally fundamental to our learning process. Your responses, questions, curiosities, and concerns will trigger changes to this initial syllabus. So the course has elements of both top-down and bottom-up approaches to implementation, or what Richard Elmore (1980) terms a dynamic of “forward and backward mapping.”²

The course is also an occasion to practice learning from the different perspectives we each bring to the class. Your exploration of specific cases, your reactions to the readings and examples we examine together, and your prior learning from theory and practice are key materials for innovation and learning.

Participating in the implementation of the course is intended to help you develop your skills in extracting lessons from seemingly disparate fields to apply to your own projects and areas of interest. The objective is to create value that is useful to you rather than to learn the details of other substantive areas.

Who Can Benefit from the Course:
The course is designed for students who are interested in careers in a range of social, urban, and environmental fields and who expect to work in public, nonprofit, or private sector organizations or as consultants to such organizations. For students who have already worked in their fields of interest, the course offers an opportunity to reflect on this experience; the readings and assignments afford a chance to deepen what you already know while learning and critiquing ideas about good management practice. Those who have not yet amassed practical experience will begin to develop these skills and sensibilities to help you in future roles.

Core Competencies the Course Seeks to Develop:

- Knowledge domains: policy and planning implementation; administrative aspects of policy and planning; roles and relationships among actors across levels of government and policy domains, between sectors, and in relation to clients and constituents; public and nonprofit management and organizational behavior; and the social, cultural, and political influences in each of these domains.

• **Practical skills**: assessing and predicting implementation challenges; creative problem solving; coordination and collaboration; strategic framing and messaging; leadership; and discerning practical ethical concerns about accountability and responsibility in light of multiple stakeholders’ perspectives and community resources.

• **Critical thinking**: problem defining; assessing strategies in relation to problems and goals; comparative analysis; and critical reasoning and applying theory to practice.

• **Communication skills**: professional, persuasive written and oral communication and active listen to stimulate collective understanding and learning.
**READING ASSIGNMENTS AND DISCUSSION TOPICS**

**INITIAL VERSION**

<table>
<thead>
<tr>
<th>Session 1: Jan. 16th</th>
<th>Introduction: What Do We Know about Implementation?</th>
</tr>
</thead>
</table>
| • Clarify the goals of the course and learning approach  
• Introduce the framework we will use to understand implementation and innovation  
• Surface what we know about why following through with what seems like a good idea is so difficult and what helps us overcome obstacles |

<table>
<thead>
<tr>
<th>January 23rd</th>
<th>No Class (Tufts is on Monday’s schedule in honor of Martin Luther King, Jr.)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Devote this week to selecting your “case” for the class. (See the guidance for Session 4.)</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Session 2: Jan. 30th</th>
<th>Implementation Challenges and the Test of What Works</th>
</tr>
</thead>
<tbody>
<tr>
<td>OR</td>
<td></td>
</tr>
<tr>
<td>Additional references on implementation are on Canvas.</td>
<td></td>
</tr>
</tbody>
</table>
Session 3:    Feb. 6th Accountability in the Context of Ambiguity & Conflict


Prepare for Your Case Characterization and Implementation Challenges Assignment:

- Think about the “case” you will explore throughout the course in relation to Matland’s Ambiguity-Conflict model.
- Consider the most significant “accountability pulls.”

Session 4:    Feb. 13th  Responsibility for Creating Public Value


American Society for Public Administration’s “Code of Ethics”

Use the resources in the designated folder on Canvas to characterize your “case.”

1. **Characterize the policy field:** Use Sandfort and Moulton’s (2015) guidance in their appendices and the illustration in Chapter 7 as a model. For more explanation of policy fields see Chapters 3 & 4. You may also view the video on policy field analysis and look at the example of a policy field analysis on the Hubert Project website.

2. **Identify the key actors and their relationships:** “Note on Mapping: Understanding Who Can Influence Your Success.” (Electronic Hallway, Evans School of Public Affairs, University of Washington)

Bring your notes and diagrams to class on **February 13th** so that you can share your insights with the rest of the class and get their feedback to help you prepare for the paper **due on February 15th.**
Session 5: Feb. 20th  Performance Measurement – Why (or Why Not) Measure?


**Supplementary Resources:** Additional references on incentives and sanctions performance measurement will be posted on the Canvas site.

---

Session 6  Feb. 27th  Performance Measurement – What and How to Measure


Choose **either:**

- Readings on “collective impact” (Kania and Kramer and others)
- Race Equity Toolkit guide from the Government Alliance on Race and Equity

Kellogg Foundation Logic Model Development Guide, January 2004. (This resource may be useful for your second assignment.)

---

Session 7: March 6th  Learning Together

**Learning from Differences**


**Communities of Practice**


**March 8th (Friday) 2nd Assignment Due:** Critical application of a strategy for improving performance.
Session 8: March 13th  Diffusion and Adaptation of Innovations


*Note: We may devote an additional session to these topics following Spring Break.*

March 20th NO CLASS -- SPRING BREAK

Session 9: March 27  Coordination and Collaboration

*Case:* A Class of Concerns in Redeveloping Public Housing in Somerville (tentative)


Skim one of these guides to help you characterize the nature of collaboration or potential collaboration in your “case”:


*Alternative readings will be posted for those who are already familiar with the above resources.*
**Session 10: April 3rd  Challenges of Working Together**

*These selections will likely change.*


---

**Session 11: April 10th  Making Change Make Sense**


Choose one of the following:


---

**April 12th (Friday) 3rd Assignment Due:** Critical application of either replication and adaption of an innovation or of coordination or collaboration
Session 12  April 17th  To Be Decided

The topic for this session will be decided based on our collective learning process.

Session 13  April 24th
Assessing the Toolkit, Integrating Course Themes & Student Presentations

Re-read the syllabus and review notes from the course.
Interactive presentations and discussion of course themes in relation to your final projects.

May 3rd (Friday) Project Proposal or Research Paper Due

After May 3rd: Ongoing reflection on implementation challenges and creative problem-solving strategies by learning from practice in the company of colleagues and constituents.