

**Theory and Practice in Public Policy**  
**PUBP700, Fall 2007**  
**Thursdays, 1:40-4:00 p.m.**

**Instructor:** Mark J. Rozell, [mrozell@gmu.edu](mailto:mrozell@gmu.edu), 703-993-8171

**Course Objectives**

Theory and Practice in Public Policy, the gateway course for the Master's Program in Public Policy, introduces you to tools and concepts that will help you navigate in the world of public policy in two ways. First, we explore several types of theories and assess their strengths, weaknesses and applicability to public policy in order to understand different varieties of theory, their uses and application. Second, you will be introduced to several perspectives on the practice of policy analysis and be given an opportunity to engage in an analytical policy project that allows you to practice working in a team. Strong ethical and international components are built into the course.

The objective of this course is to help you become a more sophisticated policy professional with an ability to operate effectively and ethically in a political environment. While many of the applications will be U.S.-based, the theories apply more broadly to policymaking elsewhere. You will be presented with a variety of ways of looking at political phenomena, conceiving of relationships, and understanding outcomes. The course seeks to heighten your sensitivity to economic and political context and your appreciation of theoretical rigor, disinterested analysis, and empirical evidence for assertions.

You will hone your skills in recognizing values, seeing multiple sides of issues, casting alternative frames to problems, understanding underlying interests, identifying stakeholders, and devising strategies for action. Finally, the course aims to enhance your proficiency in identifying and using appropriate, authoritative source material and in writing and speaking articulately, succinctly, logically, and convincingly. Upon completion of this course, you should be well underway toward becoming a policy analyst and well prepared for the remainder of the MPP program.

**Specific Skills**

You will be taught and will practice developing the following skills in this class:

1. How to cite sources properly.
2. How to find, assess and use sources appropriately and with greatest effect.
3. How to use EndNote, a bibliographic software program.
4. How to analyze a policy report and to identify causal relationships and underlying causal mechanisms.
5. How to develop criteria against which to assess policy options.
6. How to apply basic policy tools to policy problems.
7. How to work in a team effectively, to use the talents of all team members, and to generate maximum participation from each team member. How to handle dominant, non-performing, non-cooperative team members successfully.
8. How to identify, avoid, and otherwise handle conflicts-of-interest in your professional life.

9. How to apply ethical precepts, beyond those of conflicts-of-interest, to public policy and to your professional life.
10. How to speak before a group forcefully and convincingly.
11. How to use theory in practice.
12. How to write and present a professional policy analysis.
13. How to create a strategy to achieve adoption and implementation of a recommended course of action.

### **Assessment**

You will work individually and in teams in order to demonstrate your facility with the theories and their appropriate use, as well as to hone your research, public presentation and writing skills. Grades will be apportioned in the following manner:

* One 4-5 page Analytical Paper	20%
* First exam	20%
* Qualitative Class participation and written assignments	20%
* Group policy analysis project	20%
* Second exam	20%

It is not possible to receive an “A” if more than two classes are missed during the semester.

### **Required Texts and Readings**

Eugene Bardach, *A Practical Guide for Policy Analysis: The Eightfold Path to More Effective Problem Solving* (Chatham House Publishers, 2000).

David Braybrooke and Charles Lindblom, *A Strategy of Decision*.

Simon Blackburn, *Being Good: A Short Introduction to Ethics* (Oxford University Press, 2001).

Diana Hacker, *A Pocket Manual of Style*, (4th) ed. or later (Bedford/St. Martin's, 2000).

Albert O. Hirschman, *Exit, Voice and Loyalty: Responses to Decline in Firms, Organizations, and States* (Harvard University Press, 1970).

Margaret E. Keck and Kathryn Sikkink, *Activists Beyond Borders: Advocacy Networks in International Politics* (Cornell University Press, 1998).

John W. Kingdon. *Agendas, Alternatives and Public Choices*. Latest edition.

Charles E. Lindblom, *The Market System: What It Is, How It Works, and What to Make of It* (Yale University Press, 2001).

Mancur Olson, *Logic of Collective Action: Public Goods and the Theory of Groups* (Harvard University Press, Paperback Revised edition, 1971 (orig. pub. 1965)).

Deborah Stone, *Policy Paradox: The Art of Political Decision Making*, Revised Edition (W. W. Norton, 2002).

### **Highly Recommended Reading**

Brian A. Connery and John L. Vohs, "Group Work and Collaborative Writing," University of California, Davis, Writing Center and Dept. of Rhetoric and Communication.  
<http://trc.ucdavis.edu/trc/papers/vohs/index.html>

Carol A. Vidoli, *Technical Report Writing*, NASA Technical Memorandum 105419.  
 Online version revised 5/18/00 at <http://grcpublishing.grc.nasa.gov/editing/vidcover.CFM>

Jon Elster, *Nuts and Bolts for the Social Sciences* (Cambridge: Cambridge University Press, 1989).

David L. Weimer and Aidan R. Vining, *Policy Analysis: Concepts and Practice*, 4<sup>th</sup> ed. (Upper Saddle River, N.J.: Prentice Hall, 2005).

Dipak K. Gupta, *Analyzing Public Policy: Concepts, Tools, and Techniques* (Washington, D.C.: CQ Press, 2001).

David N. Ammons, *Tools for Decision Making: A Practical Guide for Local Government* (Washington, D.C.: CQ Press, 2002).

Frank R. Baumgartner and Bryan D. Jones, eds. *Policy Dynamics* (Chicago: University of Chicago Press, 2002).

Thomas C. Schelling, *The Strategy of Conflict* (New York: Oxford University Press, rev.1980), esp. pp. 21-52.

Thomas C. Schelling, *Micromotives and Macrobehavior* (New York: W.W.Norton, 1978).

Roger Fisher and William Ury, with Bruce Patton, editor, *Getting to Yes: Negotiating Agreement without Giving In*, (NY: Penguin Books, 1991).

Irving Goffman, *Presentation of Self in Everyday Life* (Garden City, NY: Doubleday, 1959).

Michael Mintrom, *People Skills for Policy Analysts* (Washington, D.C.: Georgetown University Press, 2003).

Howard Gardner, et al. *Good Work: When Excellence and Ethics Meet* (New York: Basic Books, 2001).

## Class Schedule, Topics, and Assignments

### *The Fundamentals of Policy Analysis*

#### **Class 1. August 30, 2007**

##### **Lecture Topics**

- Introduction: Distribution of the syllabus and class assignments:
- Conceptual Overview of the Course
- Bardach: The Practice of Policy Analysis (Part 1)
- Possible policy analysis project topics

##### **Assignment prior to First Class**

- 1. Read the entire syllabus.**
- 2. Read Parts I-III of *A Practical Guide for Policy Analysis* (Bardach) and be ready to discuss this book.**
- 3. Make sure that you have activated your student ID for GMU library privileges.**

##### **Class questions for study and discussion**

1. Why does Bardach suggest that the analyst must revisit the early steps of the analysis, especially the definition of the problem, many times?
2. What is the importance of the advice, First do no harm?
3. Which step does Bardach say is the most difficult? Why?
4. What alternative must you *always* consider?
5. What does Bardach say about the evaluative criteria? What are some of the evaluative criteria that you personally might choose to focus on?
6. What do you consider to be the most important advice that Bardach gives?
7. Can you think of any real life policy situations in which it might not be feasible to go through all eight steps? If so, give an example. If not, why not?

## Class 2. September 6, 2007

### Assignments Due Today

1. Read the Appendixes of *A Practical Guide for Policy Analysis* (Bardach)
2. Read the front section of Hacker.
3. Be ready to answer the class questions below.
4. Read *Keystones of Policy Analysis* (found later in the syllabus)
5. Go to the GMU Library website and become familiar with the library resources.

### Lecture Topics: The Practice of Public Policy

Public Policy Analysis: What Is It?

Successful Research in Policy Analysis: The Complete Professional  
 What does it mean to be a professional?  
 What a policy professional does

Policy Analysis Assignment  
 Possible Topics  
**Division into Groups**

Successful Teamwork

### Recommended reading:

Radin, Beryl A. *Beyond Machiavelli: Policy Analysis Comes of Age*, (Washington, DC: Georgetown University Press, 2000).

Lindblom, Charles E. and David K. Cohen, *Usable Knowledge: Social Science and Social Problem Solving*, New Haven: Yale University Press, 1979.

Weiss, Carol H. ed., *Organizations for Policy Analysis: Helping Government Think*, Newbury Park: Sage Publications, 1992. (See esp. the introductory essay.)

Patrick, Lencioni. *The Five Dysfunctions of a Team: A Leadership Fable*. San Francisco, (CA: Jossey-Bass, 2002).

## Class 3. September 13, 2007

### Assignments Due Today

1. **Read all of Blackburn.**
2. **Be prepared to answer all of the class questions for study and discussion below.**

### **Lecture Topics:**

Normative Theory as a Guide to Ethical Behavior

Acting Ethically

Ethical Conduct: A Guide to a Professional Life worth Living

### **Class questions**

1. What is the moral or ethical environment? Using Blackburn, explain how one might empirically identify the quality of such an environment in an organization.
2. What is the source of the Universal Declaration of Human Rights? Does it merely reflect the hegemony of Western culture? Make an argument using Blackburn.
3. What is Grand Unifying Theory and why does Blackburn have disdain for this concept? Why does he claim that such theories are pessimistic?
4. What is the categorical imperative? What is its relevance to public policy analysis? How does it differ from utilitarianism? (Be sure to define these concepts in your answer.)

### **Class questions for study and discussion**

1. What do relativism, skepticism and nihilism have to do with policy analysis?
2. How does morality differ from moralism? How does an ethical climate differ from a moralistic one?
3. If “human beings are ethical animals,” why does corruption seem to dominate our lives?
4. Are Blackburn’s concerns primarily normative or empirical?
5. What is subjectivism and what is its relevance to ethics?
6. Is the issue of abortion a deontological one? Might a utilitarian rule be used to resolve this issue? Explain.
7. How can crimes be committed in the name of common happiness?
8. Why is the “politics appropriate for societies of free individuals...above all democratic”?
9. What are “the lies the privileged tell themselves”?

10. What does it mean to say that one should treat others only as ends and not as a means? Is this a realistic precept in the world of politics?

### **Recommended Reading**

Guttmann, Amy and Dennis Thompson. Eds. *Ethics & Politics: Cases and Comments*. 3rd ed. Chicago: Nelson-Hall, 1997.

Moore, Mark H. and Malcolm K. Sparrow. *Ethics in Government. The Moral Challenge of Public Leadership*. Englewood Cliffs, N.J.: Prentice-Hall, 1990.

Williams, Bernard. *Truth and Truthfulness: An Essay in Genealogy*. (Princeton, NJ: Princeton University Press, 2004).

### **Class 4. September 20, 2007**

### **Assignments Due Today**

1. **Read *Activists Beyond Borders*.**
2. **Teams turn in the name of their proposed client and the definition of their problem for their policy analysis project.**
3. **Be prepared to answer the class questions below.**
4. **Read the article “Human Rights: Q&A with Gillian Caldwell” in the Winter 2005 *Ford Foundation Report*. You should be able to find it at [http://www.fordfound.org/publications/ff\\_Report/view\\_ff\\_report\\_detail.cfm?report\\_index=541](http://www.fordfound.org/publications/ff_Report/view_ff_report_detail.cfm?report_index=541). Then, using the lens of *Activists Beyond Borders*, explicate to a neophyte in an essay no longer than 600 words the ideas discussed in the *Report*. Be sure to use explicit citations.**

### **Lecture Topics: Groups in Concert: Networks**

Keck and Sikkink: Causal Relations and Causal Dynamics

### **Class questions for study and discussion**

1. What is Keck and Sikkink’s theory? (This counts as two questions.)
2. What is new about Keck and Sikkink’s transnational advocacy networks? Haven’t such formations been in existence since the 19<sup>th</sup> century?
3. In what ways do Keck and Sikkink use social movement theory?
4. Of what are TANs composed? How are TANs organized? Where is power located within TANs? How do you know?
5. What is the boomerang technique? Is it exclusively applicable to international activities?

6. What does it mean to frame an issue? What is the importance of this concept?
7. Why does the development of advocacy networks and global public policy networks bring state sovereignty into question? Is this a significant matter?
8. What advice would you give someone who wants to change a public policy but who has no particular political connections and is not wealthy?
9. What is inductive theory? How does it differ from deductive theory?
10. What is the distinction between normative and empirical theory? Why make this distinction?
11. What techniques in Keck and Sikkink are used to influence public policy?
12. Are these techniques applicable in domestic politics? Explain.

### **Recommended Reading**

Stephen D. Krasner, "Think Again: Sovereignty," *Foreign Policy* (Winter 2001). (Available online.)

Wolfgang H. Reinicke, "The Other World Wide Web: Global Public Policy Networks," *Foreign Policy* (Winter 2001). (Available online.)

Adam Hochschild, *King Leopold's Ghost* (Houghton Mifflin, 1999).

Michael Ondaatje, *Anil's Ghost* (McClelland & Stewart, 2000).

Donatella della Porta and Sidney Tarrow, eds., *Transnational Activism and Global Movements* (Roman and Littlefield, 2004).

Robert O'Brien, et al., *Contesting Global Governance. Multilateral Institutions and Global Social Movements* (Cambridge, 2000).

Jan Martin Witte, Wolfgang H. Reinicke, and Thorsten Bennett, "Beyond Multilateralism: Global Public Policy Networks," *International Politics and Society* (2000/2). Available online at [http://www.fes.de/IPG/ipg2\\_2000/artwitte.html](http://www.fes.de/IPG/ipg2_2000/artwitte.html) and at PUBP700.

Robert Putnam, "Diplomacy and Domestic Politics: The Logic of Two-Level Games," *International Organization* 42 (Summer 1988): 427-60. (Available via JSTOR)

Everett M. Rogers, *Diffusion of Innovations* (4th ed.) (New York: Free Press, 1995).

1948 Universal Declaration of Human Rights (online)

Sidney Tarrow, *Power in Movement: Social Movements, Collective Action and Politics* (Cambridge: Cambridge University Press, 1994).

Jon Elster, *Nuts and Bolts for the Social Sciences* (Cambridge: Cambridge University Press, 1989).

**Check out these human rights websites**

Human Rights Online: <http://oz.uc.edu/thro/Educ-Guide.html>

Interview: <http://globetrotter.berkeley.edu/people/Stover/stover-con99-0.html>

Example Projects from Ford Foundation:

[http://www.fordfound.org/publications/recent\\_articles/close\\_to\\_home.cfm](http://www.fordfound.org/publications/recent_articles/close_to_home.cfm)

**Class 5. September 27, 2007**

**Assignments Due Today**

**1. Read all of Analyzing Arguments under Tips and Tools. Look up any words or concepts with which you are not familiar.**

**Lecture Topics:** Theory and Model & Making an Effective Argument

- What is a premise? What is an assumption?
- What is an inductive argument and how does it differ from a deductive argument? Give examples of each.
- Find an article in today's paper and identify the premise and the assumptions.
- To what degree is a policy analysis descriptive and to what degree is it prescriptive?
- What is the role of evidence in a policy analysis? What is the role of values in a policy analysis? How are the two reconciled?
- Where do policy options come from?
- How does the analyst decide which policy options are viable?
- How does the analyst go about developing criteria against which to assess policy options?
- Why does Bardach emphasize that applying the criteria to the options is a matter of focusing on outcomes, not intentions? Why is this difficult?
- Why are unintended consequences a problem for policy analysts and policy makers? Why do they occur? What can be done to minimize them?
- You want to cite a web site that you have used. What is the appropriate format?
- You have been asked to use a consistent citation style in your papers. How do you find and use an appropriate citation scheme?
- In your opinion, what are the five best electronic sources for public policy research? Provide their web addresses. Indicate the criteria you used to make this selection and the way you applied the criteria to each of your choices.

**Recommended Reading**

Duncan MacRae Jr. and Dale Whittington, *Expert Advice for Policy Choice: Analysis and Discourse* (Washington, D.C.: Georgetown University Press, 1997).

**Class 6. October 4, 2007**

**4-5 page Analytical Paper topic will be distributed – DUE NEXT WEEK**

**1. Read all of *The Market System*. Please read this monograph carefully and completely. Like Blackburn, Lindblom makes very complex ideas accessible to the layperson. This is an extraordinary skill and one that good analysts need to develop. Try to see how Blackburn and Lindblom accomplish this feat.**

**Lecture Topic:** Economics: Understanding the Market Context

**Class questions for study and discussion**

1. “[I]n our time the market system has become a global coordinator of cooperative performances of at least 2 billion people.” Explain.
2. How does Lindblom’s view of entrepreneurs relate to corporate scandals of 2002? In your answer, define “entrepreneur.”
3. Between 1997 and 2001, U.S. companies spent \$90 billion to lay 39 million miles of fiber optic cable - enough to circle the earth 1,566 times. Only 2.6% of that is currently in use. How might a capitalist explain this result in light of the putative efficiency of the market?
4. At base, how do markets work, according to Lindblom? Why does Lindblom consider the market system to be such a marvelous achievement?
5. What are some alternatives to markets?
6. Is a market system necessary for democracy?
7. Does a market system inflict harm on democracy? So what?
8. What does Lindblom mean when he repeatedly says that the market system pertains to society, not merely the economy?
9. What is a spillover and what is its importance for markets and governments?
10. What is the role of efficiency in markets and governments?
11. You want to encourage saving (using mechanisms like IRA’s, for example). What factors would you want to take into account in devising a sharp, efficient policy proposal?
12. How are normative questions, compared to empirical ones, addressed?
13. What is the difference between a concept and its operationalization or measurement? Why is this distinction important?
14. What is systematically collected, empirical evidence? What is its importance in public policy analysis?
15. Lindblom argues that markets could theoretically exist in a non-democratic political system. Place this comment in the context of Lindblom’s text.

16. You have been asked to determine the degree to which the former Communist countries in the Eastern Bloc are governed democratically. How would you go about performing this task? Be sure to reference Lindblom's discussion of the relationship between democracy and markets, as one but only one element of your response.

### **Recommended reading**

Other works of Lindblom, including *Intelligence of Democracy: Decision Making through Mutual Adjustment*, (NY: Free Press, 1965).

## **Class 7. October 11, 2007**

### **Assignments Due Today**

- 1. 4-5 page Analytical Paper is due.**
- 2. Read *The Logic of Collective Action*, pp. 1-97.**
- 3. Be prepared to discuss the class questions.**

### **Lecture Topics: Individuals in Concert:**

The Logic of Collective Action

A classic

An example of empirical, deductive theory

The Role of Scientific Theory in Policy Analysis

### **Class Questions for study and discussion**

1. You are a consumer -- and until business spending picks up, the economy is depending on you. Are you up to the job? Explain.
2. What is rational actor theory?
3. What is the theory of collective action?
4. What is a free rider? What is the significance of this concept to the policy analyst?
5. What difference does the size of a group make in predicting the likelihood of collective action?
6. What is a latent group? Why is this concept important to Olson?
7. What is the importance of a closed shop to a labor union?
8. What is the difference between a latent group and an organized group?
9. How does Blackburn's concept of egoism relate to Olson's rational actor?
10. What are the limits of rational actor theory?

11. Public or rational choice theory applied to economic activity seems to produce far more felicitous results than when applied to the social or political realm. Explain.
12. In what ways do Olson's and Keck and Sikkink's theories differ? Compare their usefulness.

### **Recommended reading**

Steven E. Finkel and Edward N. Muller, "Rational Choice and the Dynamics of Collective Political Action: Evaluating Alternative Models with Panel Data," *The American Political Science Review*, Vol. 92, No. 1. (Mar., 1998), pp. 37-49 (Available via JSTOR).

Amartya K. Sen, "Rational Fools: A Critique of the Behavioral Foundations of Economic Theory," *Philosophy and Public Affairs*, 6: 4 (Summer 1977), 317-344 (available via JSTOR).

Jane Mansbridge, "Self-Interest in Political Life," *Political Theory*, 18:1 (February 1990), 132-153.

Hechter, Michael and Christine Horne, eds. *Theories of Social Order: A Reader*. Stanford, CA: Stanford University Press, 2003.

Kiser, Larry L. and Elinor Ostrom. "Three Worlds of Action: A Metatheoretical Synthesis of Institutional Approaches," in Elinor Ostrom, ed., *Strategies of Political Inquiry*. Beverly Hills, CA: Sage Publications, 1982, pp. 179-222.

### **Class 8. October 18, 2007**

#### **Assignments Due Today**

- 1. Project Team leaders should turn in a tentative bibliography indicating sources that will be used for the policy analysis, a more fully developed description of the problem your team will be addressing in its policy analysis, and the names of your team members.**
- 2. Read *Exit, Voice, and Loyalty*, pp. 1-61, 76-105, and 120-126.**

#### **Lecture Topics: Structuring Choice**

Exit, Voice and Loyalty: Hirschman's Main Ideas  
 The Loyalties of the Policy Analyst: The problem of bias

#### **Class questions for study and discussion**

1. What does a reading of Hirschman suggest to you about the efficacy of privatization? Is he correct? Explain. Be sure to define “privatization.”
2. How does loyalty influence the use of exit or voice? Provide examples.
3. Under what circumstances is voice most effective?
4. Under what circumstances should a policy professional quit a job?
5. Would Hirschman endorse the practice of whistle blowing?
6. Is it possible to retain personal integrity while working in institutions driven by political, economic and other values that may conflict with professional standards? Explain.
7. What's the value of a Consumer Product Safety Commission?
8. Why have a Securities and Exchange Commission?
9. Should democracies have freedom of information acts?
10. Why might agencies tend to err on the side of secrecy when classifying information?
11. Why do people who believe in limited government worry about the use of Orwellian language? (What is Orwellian language?)
12. What difference does accurate auditing of public corporations make?

#### Recommended reading

Other works by Hirschman, including *Shifting Involvements: Private Interest and Public Action* (Princeton, N.J.: Princeton University Press, 1982).

#### **Class 9. October 25, 2007: FIRST EXAM**

#### **Class 10. November 1, 2007**

#### **Assignments due today**

1. Read **Policy Paradox**: Introduction and Part I. Read Parts II, III or IV, as follows: If your surname begins with A-G, read Part II; with H-N, read Part III; with O-Z, read Part IV.
2. Because each of you will be reading different sections, you must come to class prepared to teach each other the answers to all of the class questions below.
3. Everyone reads pages 376-414 of Stone.

#### **Lecture Topic: The Political Project**

*Policy Paradox*

#### **Class questions for study and discussion**

1. “It is important to represent both sides of the issue.” What is defective about this characterization?
2. In what ways does the theory of collective action fail as a theory of political mobilization?
3. Which is prior: policy issues or political contests? Explain.
4. How does language affect policy problems?
5. What might be an example of a conflict of interest that a policy analyst might confront? What are some other examples of conflict?
6. What is just, according to Stone?
7. What is the difference between justice as a concept and its operationalization or measurement?
8. What does it mean to say that conceptual boundaries are contested? Provide an example from Stone.
9. What does Stone mean when she says, “The definition of security, like other policy goals, is an exercise in political claims-making”?
10. What does it mean to say that problem definition is “the strategic representation of situations”?
11. Explain the idea that no fact speaks for itself. What are the hidden stories in numbers?
12. What are the implications behind the following assertion: “Problems, then, are not given, out there in the world waiting for smart analysts to come along and define them correctly”?
13. What is the relationship between counting and political mobilization?
14. “People, unlike rocks, respond to being measured.” So what?
15. What are the differences between the rationality project and the political project?
16. Why does Stone contrast these two projects?
17. What is the role of values in policy making, according to Stone?
18. Using Stone and Schattschneider, devise a strategy to reinvigorate the Democratic party. Identify the obstacles to implementing this strategy and how you would circumvent them. (You will want to think about this question again next week after you have read the remainder of Stone.)

### **Recommended reading**

Shanto Iyengar, *Is Anyone Responsible? How Television Frames Political Issues* (Chicago: University of Chicago Press, 1991).

W. Russell Neuman, Marion R. Just, and Ann N. Crigler, *Common Knowledge: News and the Construction of Political Meaning*, Chicago: University of Chicago Press: 1992.

Minogue, Kenneth. *Politics: A Very Short Introduction*. Oxford: Oxford University Press, 1995.

Competing analyses of Social Security Commission’s recommendations:

<http://www.cbpp.org/6-18-02socsec-pr.htm>

<http://www.socialsecurity.org/pubs/ssps/ssp-27es.html>

You should ask yourself: What accounts for their differences?

**National Commission on Terrorist Attacks. The 9/11 Commission Report: Final Report of the National Commission on Terrorist Attacks Upon the United States, 2004.**

Edward R. Tufte, ed., *The Quantitative Analysis of Social Problems*, (Reading, Mass.: Addison-Wesley, 1970).

David C. Hoaglin, et al., *Data for Decisions* (Cambridge, Mass.: 1982).

Martin Greenberger, Matthew A. Crenson, and Brian L. Crissey, *Models in the Policy Process* (NY: Russell Sage Foundation, 1976)

Edward E. Leamer, "Let's Take the Con out of Econometrics," *American Economic Review* 75, no. 1 (March 1983): 31-43.

Erich W. Streissler, *Pitfalls in Econometric Forecasting* (London: Institute of Economic Affairs, 1970).

E.J. Mishan, *Twenty-One Popular Economic Fallacies* (Harmondsworth, England: Penguin, 1971).

I. J. Good on statistical fallacies in the *International Encyclopedia of the Social Sciences*.

W.S. Robinson, "Ecological Correlations and the Behavior of Individuals," *American Sociological Review* 15 (1950): 351-57.

G. Majone and Edward S. Quade, *Pitfalls of Analysis* (New York: Wiley, 1980).

**Class 11. November 8, 2007**

**Assignments due today**

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| <ol style="list-style-type: none"> <li>1. Read all of Braybrooke and Lindblom</li> <li>2. Read Edward Banfield, "Policy Science as Metaphysical Madness" (distributed to class by email)</li> <li>3. Be prepared to answer class questions for study and discussion.</li> </ol> |
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**Topic**

A critique of the rationalist model

Disjointed-incrementalism

**Class questions for study and discussion**

1. According to the authors, what are the limitations of the rationalist model?

2. What is “disjointed-incrementalism”? Why do the authors see it as superior to the rationalist model?
3. How does the authors’ theory aid the practical policy analyst?

### **Suggested Reading**

Anne Larason Schneider and Helen Ingram. *Policy Design for Democracy* (University Press of Kansas, 1997) (paper)

Aaron Wildavsky and Naomi Caiden, *The New Politics of the Budgetary Process*. 4<sup>th</sup> edition (Pearson Education, 2000)

## **Class 12. November 15, 2007**

### **Assignments due today**

#### **1. Read all of Kingdon**

### **Lecture Topic: Who Makes Policy and How?**

The Agenda Setting Process

### **Class Questions for study and discussion**

1. Describe the differences between administrative rule-making and judicatory procedures.
2. Contrast the roles of Congress and the President in this controversy.
3. What is a policy entrepreneur? What other examples of policy entrepreneurs can you think of from other policy areas?
4. How might bureaucratic policymaking enhance a democracy?
5. What is the role of the public in policy making?
6. Which comes first, the problem or the solution?
7. What are the implications for policy analysis?

### **Recommended reading**

Robert Dahl, *A Preface to Democratic Theory* (Chicago: University of Chicago Press, 1963).

Douglas R. Hofstadter, “Epilogue: Analogy as the Core of Cognition,” in *The Analogical Mind: Perspectives from Cognitive Science*, Dedre Gentner, Keith J. Holyoak, and Boicho N. Kokinov, eds. (Cambridge: MIT Press, 2001), 499-538.

Lewis G. Irwin, *The Policy Analyst’s Handbook: Rational Problem Solving in a Political World* (New York: M.E. Sharp, 2003).

### Class 13. November 29, 2007

1. **Group Presentations: Week I**
2. **Written policy analyses and editorials are due for all groups.**

### Class 14. December 6, 2007

1. **Group Presentations: Week II**

#### Description of Team Projects

1. Each team is to develop a **policy analysis** along the lines of Bardach's *A Practical Guide for Policy Analysis*. The deliverables include a written policy analysis of approximately 20 double-spaced typed pages (exclusive of appendices). The analysis should include:

- An executive summary of the report (not to exceed one page)
- A succinct discussion of the problem (including history, component parts, reason for the problem, some relevant academic literature and related matters)
- Identification of the client for whom the project is undertaken
- Identification of the stakeholders
- Presentation of any data that you may have collected (primary or secondary) that you want to bring to bear on solving the problem
- Explanation of the criteria against which outcomes are to be assessed and of operationalization of the criteria
- Assessment of possible solutions and possible opposition
- Conclusion and recommendation (Provide reasons)
- Evaluation: How should the policy solution you recommend be evaluated if the solution is implemented?

In a **first appendix**, append a list of the name of each member of the class and the parts of the team project for which each person was responsible. In a **second appendix**, provide a one-page assessment of your client's background, interests, financial support, political leanings, and purpose of commissioning your analysis. Then indicate how these factors influenced your policy advice. **Third**, include **footnotes** and a complete **bibliography** in your analysis.

Due date for the written analysis is **April 25**. Kindly upload your paper on the designated WebCT message board, and submit it electronically to TurnItIn.com. You must also deliver a paper copy at the beginning of class. In addition, interim assignments include the name of the intended client and topic of the policy analysis and a proposed bibliography indicating the sources that will be used are due as indicated in the Class Assignments section above.

2. Each team is to prepare a **strategic analysis** of how successfully to implement the policy advice in your policy analysis. The deliverables include: An **editorial** for a relevant newspaper (500 words maximum, emailed to the professors, teaching assistants, and to all the members of the class prior to the presentation) using the arguments that you have used with your client. A Q&A period of about 15 minutes will follow immediately after the presentation. The presentation, not to exceed 30 minutes, should include:

- A brief summary of the policy problem and the advice you offered your client, and the reasons for your recommendations, including the criteria and the measurement that your group employed
- **Relevant** elements of strategies and tactics from the **class readings**
- A persuasive argument concerning the strategy you are proposing
- A step-by-step presentation of the strategy clearly indicating how the strategy (and accompanying tactics) will lead to the desired outcome

### **Keystones of Analysis**

Use these concepts in your policy analysis assignment.

- *Constitutionality*: Is the proposed policy constitutional and legal?
- *Efficiency*
  - **Effectiveness**: Will the proposed policy accomplish its purposes in the most direct, efficient manner?
- *Equity*: Is this policy fair to all concerned?
- *Political Feasibility*
  - **Public acceptance**: Is there sufficient public support for this policy to be adopted and implemented successfully?
  - **Institutions that must approve and implement the policy in good faith**: Will they be willing to do so?
- *Administrative Feasibility*: Is the policy practical from an administrative standpoint?
- *Social Justice*: Does this policy improve the life chances and the lot of the disadvantaged and reduce unwarranted societal discrimination that keeps people from living life to its fullest?
- *The commons*: Will this policy serve the community in its entirety and make life better for more people?
- *Impact on people*: Have you taken into account the effect of the policy on all possible constituencies, including those who may not have a voice in the policy?
- *Unanticipated consequences*: Have you contemplated results of the policy that might not be desirable but that might inadvertently result from the policy? Have you taken a **systems view** of the policy and its implementation?
- *Evaluation*: How will you know if the policy has been successful? What will count as success?
- *Cost*
  - **Bang for the buck**: Will you be getting the most for the dollars spent?
  - **Cost-benefit analysis**: Do the costs exceed the benefits? (How do you identify and measure relevant costs and benefits?)

- **Who bears the cost?** If some people are made worse off by a policy, should they be compensated in some way by those whose lot is improved? (For example, if free trade makes the society as a whole better off but has the effect of throwing people out of work, should consideration be given in public policy to those hurt, in this example by losing their jobs, by free trade?)
  - **Externalities:** Are they identified and then incorporated in your analysis?
  - **Opportunity costs:** What could the state be doing if it weren't pursuing this policy?
  - **Bottom Line:** Based on all of the considerations above, is this policy a decided improvement over the status quo?
- The problem: How does one operationalize these concepts in a specific case?

### **Some Hints to Assist You in Your Policy Analysis Assignment**

- **Use your common sense.**  
Use what you already know but watch out for your prejudices, biases, point of view.
- **Examine assumptions, yours and others’.**
- **Examine the fundamental facts first**—often they hold great explanatory promise.
  - E.g., to account for differences between the House and Senate, first consider basic characteristics like size, timing of elections, and congressional district vs. state vote accumulation.
  - E.g., to explain why the industrial revolution started in England, consider its geographic size, its geography (that it is an island), mode of transportation—canals in 1780’s— and its unitary government with no internal tariffs and tolls (unlike French lands, for example)
- **Always compare**
  - Ask the question: Compared to what?
  - Find out what other entities have done about the problem.
  - Ask are those entities comparable?
  - Ask how effective the solutions have been when applied elsewhere.
  - Try not to examine anything in isolation.
- **Keep the context in mind**
  - Ask whether there are unique institutional barriers or opportunities in this particular case?
  - Consider in what ways the culture of the institution or community with which you are dealing needs to be taken into account.
  - Specifically identify the essential elements of the economic, political, and social context that might be relevant to your problem and your possible solutions.
- **Seek out empirical evidence at every stage of your work.**

## Reading Critically: What to Look for When Reading an Analysis of a Policy Problem

### The Argument

- *What is it?*
- *What is the logical structure of the argument?*
- *Is the argument logical?*
- *Do you detect any logical fallacies?*

### Assumptions

- *What are they? (stated and unstated)*
- *How do you find them?*
- *Are they reasonable?*
- *Clear?*
- *What values underlie the assumptions?*

### Identifying Interests

- *Who is served by the argument?*
- *How do you know?*
- *Is there a conflict of interest involved?*
- *What difference do the answers to these questions make?*

### Key Concepts

- *What are they?*
- *How are they measured or operationalized?*
- *How close is the measure to the concept?*
- *Are there multiple indicators?*

### Is Causality Asserted?

- *Is an airtight cause-and-effect relationship shown?*
- *Is the asserted causation actually a correlation?*

- *What's the difference?*
- *Have all the relevant factors been taken into account?*
- *Might other factors be causing the apparent relationship? Are there any intervening variables?*
- *How much of the effect can be accounted for by the presumed cause? (I.e., What's the percentage of variance explained?)*

### Are You Convinced?

- *How well does this argument comport with other things you know?*
- *In what ways does the argument fit with or contradict other professional policy work?*
- *Are you satisfied with:*
  - *Argument*
  - *Evidence*
  - *Conclusions*

### Next Steps

- *What research is needed now?*
- *Do the conclusions lead to feasible policy ideas?*
  - *Political feasibility*
  - *Administrative feasibility*
- *What do we need?*
  - *More data*
  - *Better analysis*
  - *Clearer arguments*
  - *Strategies for acceptance by public, policy making bodies, implementers, and those affected*

### Examples of Past Exam Questions

In addition to the class questions for study and discussion throughout this syllabus, these examples of questions from past examinations should prove useful to you and your group in preparing for the exams.

1. The reason for exit is directly correlated with the timing of exit. Explain.
2. Why might a monopoly prefer competition?
3. "Market transactions do not start from scratch." Explain the meaning and importance of this statement.
4. In what way is transaction termination inefficient? Explain.
5. Why might states set their election dates for the presidential primaries early in the calendar year even though their doing so may not be beneficial to the political parties or, perhaps, to the nation?
6. Why might Keck and Sikkink consider Freedom of Information Act requests to be of urgent importance?
7. In granting corporations many of the rights of citizens, the Supreme Court has chosen the wrong unit of analysis. Explain.
8. What is the role of compulsion in a market system, according to Lindblom? Explain.
9. Which is better for motivating worker productivity, according to Lindblom, the rule of quid pro quo or the welfare state? Explain.
10. Keck and Sikkink talk about one form of sovereignty and Lindblom another. Explain the meaning and significance of each.
11. Both Lindblom and Hirschman discuss the inevitability and value of slack. Explain.
12. Is efficiency a normative or an empirical concept? Explain.
13. How might the market-enhancing work of the International Monetary Fund pose problems for democratic government? How might the power of the IMF be dealt with?
14. According to a recent article in *The Economist* America's 25,000 cotton farmers receive \$4 billion of government subsidies in return for producing \$3 billion-worth of cotton. What is the importance of this fact for the functioning of the market system?
15. Based on the abstract below, identify the causal relation and causal mechanisms that account for the asserted relation.

**ABSTRACT:**

The risk of an unwanted pregnancy represents one of the major costs of sexual activity. When abortion was legalized in a number of states during the late 1960s and early 1970s (and nationally with the 1973 Supreme Court case of *Roe v. Wade*), this cost was reduced as women gained the option of terminating an unwanted pregnancy. We predict that abortion legalization led to an increase in sexual activity, accompanied by an increase in sexually transmitted diseases. Using CDC data on the incidence

of gonorrhea and syphilis by state, we test the hypothesis that judicial and legislative decisions to legalize abortion lead to an increase in sexually transmitted diseases. We find that gonorrhea and syphilis incidences are significantly and positively correlated with abortion legalization. According to our estimates, abortion legalization might account for as much as one third of the average disease incidence.

16. Based on the account below (at the end of this exam) provided by Tripp Baltz of the Bureau of National Affairs Daily Labor Report, identify the causal relation(s) and causal mechanisms that account for the asserted relation(s). (See article entitled "AFL-CIO Head Urges State Lawmakers To Protect Worker Rights, Health Benefits.")
17. What implications do Hirschman's ideas hold for institutional design in general and for privatization of public functions specifically?
18. The author in the abstract below is bringing empirical evidence to bear on a normative question. Explain. Is this a legitimate practice? Aren't normative questions unanswerable by empirical evidence?

**ABSTRACT:**

Computer software and recorded music publishers claimed losses of nearly \$16 billion to piracy in 1999. Theoretically, however, piracy may raise the legitimate demand for information products through positive demand-side externalities, sampling, sharing, and other effects. Accordingly, the actual impact of piracy on the legitimate demand is an empirical issue. We address this issue in the context of recorded music. We develop and test hypotheses from theoretical models of end-user and re-seller piracy on international panel data for music CDs and cassettes. Empirically, we find that the demand for both music CDs and cassettes decreased with piracy, suggesting that "theft" outweighed the "positive" effects of piracy. We estimated that the average loss of CD sales to piracy was 15% higher than the number published by the music industry. Further, we estimated that, accounting for both the demand loss and adjustments to pricing, the industry might have lost 19% of revenue to piracy.

19. What predicts the success of TANs? What's necessary and sufficient?

**Midterm Exam**

1. Free Hot Spot in Indiana

Several cities in the U.S. and elsewhere are building or considering building free wireless networks within their city limits. The mayor of Columbus, Indiana has asked you to evaluate the wisdom of adopting such a policy for his city. Using

your relevant assigned class readings and other materials you might consult, provide an abbreviated policy analysis of creating a free city-wide hot spot throughout Columbus. ( NO MORE THAN 3 PAGES ... 30 POINTS)

## 2. Vending Machines in the Schools

You want vending machines to be removed from public school premises in your community. You believe that the foods sold in these machines are harmful to children and should not be promoted by the city. The school system, however, receives substantial rebates from the vendors. As a consequence, school administrators and principals are unwilling to remove the machines. Using all relevant class readings, devise a strategy to accomplish your goal. (Use outside materials to gain background about this issue.)

3. How does utilitarianism differ from rational actor theory? Define each.

4. Assess the usefulness of a nation's willingness to allow TANs to operate freely as an indicator of that nation's commitment to democratic government.

5. What important ideas do Lindblom and Blackburn share?

6. Does Lindblom assume that consumers and firms are rational actors? What are the implications of your answer for markets and for democracy?

7. How might Olson critique Keck and Sikkink's *Activists Beyond Borders*? What might Keck and Sikkink reply about Olson's shortcomings and strengths?

## **Final Exam**

### **Problems**

1. Analyze those portions of the Medicare conference report that are most relevant to class readings and lectures. Make the relevance explicit. Consider both the substance and politics of the matter. (not to exceed 500 words, 20 points)<sup>1</sup>
2. Analyze those portions of the energy conference report that are most relevant to class readings and lectures. Make the relevance explicit. Consider both the substance and politics of the matter. (not to exceed 500 words, 20 points)
3. Will the D.C. school voucher legislation, should it be implemented, have the effect predicted by Albert O. Hirschman? Explain. (not to exceed 200 words, 10 points)
4. Using relevant class readings, write a memorandum to the International Labor Organization explaining what happened at the conferences in Cancun and Miami with regard to the Free Trade Area of the Americas. (not to exceed 400 words, 20 points)

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<sup>1</sup> To obtain a word count, go to Tools, and click on Word Count.

5. Write an editorial for *The New York Times* in which you discuss the impediments to the highest performance in public service and how they might be overcome. (not to exceed 400 words, 20 points)
6. In light of the recent determination of the World Trade Organization that U.S. Tariffs on steel are illegal, how would you advise President Bush to respond? What factors should he take into account? Explain. (not to exceed 200 words, 10 points)

**Bonus Question:** Provide advice both to teams and team leaders on what they should do in order to construct an effective policy analysis and oral presentation. (not to exceed 200 words, up to 3 points)

### Final Exam

1. Between 1997 and 2001, U.S. companies spent \$90 billion to lay 39 million miles of fiber optic cable - enough to circle the earth 1,566 times. Only 2.6% of that is currently in use. How might a proponent of the market system explain this result in light of the putative efficiency of the market?
2. What is the most apt advice you could give someone who wants to change a public policy but who has no particular political connections and is not wealthy?
3. When the Catholic Church's problem with abusive priests became public, how did that affect the possible outcome?
4. Why do externalities arise? What is another word for externalities? Provide some examples. Why are externalities often objects of public policy?
5. Discuss briefly in light of Stone's analysis:  
 "Evoking images of the corner grocery store and main street America, small business frequently resonates as a reason for easing off regulation. Yet the legal definition of "small" -- which is what really matters -- is actually quite big: for instance, it includes a general contractor with as much as \$17 million in annual revenue, a chemical company with as many as 1,000 employees, and a petroleum refinery with as many as 1,500 employees." (from OMBWatch)
6. The current discussion about future tax cuts suggests that this issue could be a wedge issue for either the Democrats or the Republicans, depending on what kinds of tax cuts, if any, are enacted. Explain. Be specific. Be sure to define "wedge issue."
7. In the article, "Is Litigation a Blight, or Built In?" (*The New York Times*, Saturday, November 23, 2002), Daphne Eviatar discusses litigiousness in the U.S. What is the underlying problem that poses regulation against adversarial legalism?
8. What is the role of values in the making of public policy, according to Stone? In your opinion, is she correct?
9. Based on class lecture and discussions, what would you say are the most important ethical precepts that policy analysts must follow?
10. Under what circumstances should a policy professional quit a job? (Base your answer on your reading of Hirschman.)

11. Public or rational choice theory applied to economic activity seems to produce far more felicitous results than when applied to the social or political realm. Explain. Provide examples. Why, then, is rational choice theory in such widespread use among public policy analysts?
12. If the European Union wanted individuals to form Europe-wide academic associations, what would you advise the E.U. to do? Outline a strategy using rational actor theory.
13. A good-government group has employed your services to help it determine whether a better legislative product would result from increasing citizens' ability to directly vote on policies or from strengthening the policy-making capabilities of Congress, by for example, improving the quality of public opinion data and the amount of expert advice available to the legislative branch. Which of the assigned class readings would be most applicable to this problem and what considerations would you recommend your client take into account? Explain. Be sure to identify your assumptions.

### Exam

1. One of the characters in Nadine Gordimer's *None To Accompany Me* commented, "Exploitation is another name for the law of supply and demand..." Analyze this statement from both Lindblom's and Stone's points-of-view. Would they agree? Why would or wouldn't they? What are the possible similarities and differences in the way each would assess this statement?
2. Analyze the word "efficiency" from the points-of-view of Hirschman, Lindblom, and Stone. Identify and define all the uses of this word by these authors. What are the differences and similarities and what accounts for the differences within and among these authors' books? Why is this concept a significant one?
3. Apply the framework of *Good Work* to the field of public policy. At the conclusion of your answer assess the effect of 9/11 on the field.
  1. What is the commons? What is the tragedy of the commons? What is its importance for public policy? Who else besides Stone talks about this idea (at least implicitly) and how does that person or persons differ from Stone's treatment of the concept, if at all? (Answer not to exceed one page. 10 points.)
  2. The financial newspaper *Barron's* recently reported, "Together, Federal Express and United Parcel Service currently control 80% of the U.S. market for ground and air parcels." So what? Use all relevant authors in your answer. (Answer not to exceed one page. 10 points.)
  3. Explain the concepts of administrative and political feasibility. What are they? What is their importance? Provide an example of each from your reading of *The New York Times*. (Answer not to exceed one page. 10 points.)
  4. In an April 28, 2003 article in *The New York Times* entitled "E-Mail Service Providers Unite in Bid to Stop Spam," Saul Hansell reports on one effort to control spam. Using the assigned readings, assess the strategy of these providers as it is presented in this article. (Answer not to exceed one-half page. 10 points.)

5. On April 20, 2003, Daniel Altman wrote a business column in *The New York Times* entitled “Efficiency and Equity (In the Same Breath).” Using the assigned readings, provide an analysis of this article. Assess the assertions in the article from the points-of-view of those authors whose ideas you deem relevant here. (Answer not to exceed two pages. 10 points.)

### Final Exam

- A. Why do analysts often use subjective criteria to assess policy options? What pitfalls does this practice present? What might be a corrective?
- B. In the August 26, 2004 print edition of *The Economist* is an article entitled “Counting Heads.” What is the measurement problem? Why is this problem an important one generally and in this specific case?
  1. The April 19, 2005 print edition of *The Washington Post* reported that the State Department “will no longer publish annual statistics for international terrorism” (p. A17). So what?
  2. Why are incentives considered to be an important public policy tool? Under what circumstances are they likely to succeed or fail? What are the alternatives? Provide an example from current policies for each answer.
1. Stone says that “Policy analysis is political argument.” Explain. Would Majone agree? Would Bardach? Explain. If Stone is correct, what, then, is the role of science and empirical research in policy analysis? Explain.
2. Public or rational choice theory applied to economic activity seems to produce far more felicitous results than when applied to the social or political realm. Explain. Provide examples. Why, then, is rational choice theory in such widespread use among public policy analysts?
3. Would Blackburn agree that everyone acts out of their own self-interest? Who, among the authors of the assigned readings, would agree with Blackburn? Who would disagree? Explain.
4. Briefly describe Majone’s theory of policy development. Apply his theory to a policy of your choice.
5. Identify the asserted causal relations in the attached speech. Then tease out the implied or stated causal mechanisms. What empirical evidence is needed to make Cohen’s case convincing?
- C. Recently, *The Economist* published an article entitled “The Case for Flat Taxes.” (It was in the April 16-22, 2005 issue.) Read that opinion piece and answer the following questions. You may answer within the context of the U.S. or you may specify an alternative country to which to apply your answers if you prefer. Your answer should not exceed 5 pages.
  - 1 How is the issue of taxes framed in this article?

- 2 Provide an alternative to the article's framing of the issue. What other possibilities might exist?
- 3 What is the central argument of this article?
- 4 Assess the adequacy of the central argument.
- 5 What assumptions does the article make? What values underpin the argument? How do you know?
- 6 How might Stone assess the arguments made in this article?
- 7 What examples of inductive and deductive reasoning do you find in this article?
- 8 As implied in this article, what is the role of incentives in the current tax system? Specifically, what incentives underlie the current tax system and what apparent impact do they have, according to the article?
- 9 As implied in this article, what is the role of incentives in a flat tax system? Specifically, what incentives underlie the envisioned flat tax and what apparent impact would they have, according to the article?
- 10 What role do equity and efficiency play in the alternatives presented in this article?
- 11 What information beyond that provided in the article would you need to assess the advisability of moving to a flat tax?
- 12 What practical considerations should be brought to bear on this proposal?
- 13 What other considerations or factors should be weighed?
- 14 Who among the authors you've read this semester might provide some guidance on this question of tax reform? What guidance might they provide?
- 15 Identify five specific, authoritative sources that you would use if you were asked to perform a policy analysis of the advisability of substituting a flat tax for an income tax.

### **EXAMPLE OF A SHORT PAPER ASSIGNMENT**

Based on your understanding of Mancur Olson's *Logic of Collective Action*, assess President Bush's likelihood of success in inducing the participation of the remaining NATO allies in establishing a functioning government and economy in Iraq. What suggestions would you have to increase the probability of Bush's succeeding? Make your assumptions clear. Provide specific grounds for your assessment. Cite Olson (by page) and any sources you use where appropriate. Direct your paper to an intelligent layperson who is unfamiliar with either the details of the Iraqi situation or Olson.

### **Arlington Campus Library Public Policy Liaison**

The GMU Arlington Campus Library is teaming up with SPP to provide special instruction to students in PUBP700. Lee LaFleur ([llafleur@gmu.edu](mailto:llafleur@gmu.edu), 703-993-8268), the Public Policy Liaison of the Arlington Campus Library, has helped us develop a curriculum to teach students about the

enormous range of materials available to our students. You will learn how to access, cite and appropriately use library sources and will be given practice exercises to ensure that you can find exactly what you need when you need it.

### **EndNote: Bibliographic Software**

To ease the time-consuming, but essential, process of formatting footnotes and constructing bibliographies, GMU has purchased a site license for EndNote for all members of the GMU community. This excellent software should prove useful to you throughout your graduate program and beyond, and is available at no charge for GMU students and faculty at <http://cas.gmu.edu/tac/endnote/endnote.html>

EndNote is a blessing for busy policy professionals who must produce quality reports and analyses. It permits you to search online bibliographic databases and will let you automatically insert references into your personal bibliography directly from an online library catalogue, for example. No longer will you have to spend hours typing bibliographies. The cite-while-you-write feature allows you to insert footnotes with one click while you write your paper. EndNote also permits you to choose among any of hundreds of citation styles and with one click to move from one style to another.

### **Writing Assistance**

If you need help in improving your writing skills, be sure to study the front section of Diana Hacker's *A Pocket Manual of Style* (see required reading below). Assistance from the university's Writing Center (<http://writingcenter.gmu.edu/>) is also available. The **Writing Center** has an Arlington office specifically for SPP students. **You are expected to use it.** Another help, "Writing Tips" by Cynthia Harrison, can be found at the end of this syllabus. You should commit it to memory. Also, consult the writing tips quizzes offered on our WebCT web site.

For citations and references, use one of the styles in the Hacker (2000) volume. You will set Endnote's style option to the one you choose from Hacker. Remember that consistency is the key to proper citation: select a style and stick to it.

### **University Honor Code**

**No cheating, plagiarizing, or other unprofessional conduct will be tolerated.** (Please see SPP statement below.) These are defined in the University Catalog as follows:

A. **Cheating** encompasses the following:

1. The willful giving or receiving of an unauthorized, unfair, dishonest, or unscrupulous advantage in academic work over other students
2. The above may be accomplished by any means whatsoever, including but not limited to the following: fraud; duress; deception; theft; trick; talking; signs; gestures; copying from another student; and the unauthorized use of study aids, memoranda, books, data, or other information
3. Attempted cheating

**B. Plagiarism** encompasses the following:

1. Presenting as one's own the words, the work, or the opinions of someone else without proper acknowledgment
2. Borrowing the sequence of ideas, the arrangement of material, or the pattern of thought of someone else without proper acknowledgment

**C. Lying** encompasses the following: The willful and knowledgeable telling of an untruth, as well as any form of deceit, attempted deceit, or fraud in an oral or written statement relating to academic work. This includes but is not limited to the following:

1. Lying to administration and faculty members
2. Falsifying any university document by mutilation, addition, or deletion...

### **SPP Policy on Plagiarism: One Instance of Cheating and You Are Expelled**

The profession of scholarship and the intellectual life of a university as well as the field of public policy inquiry depend fundamentally on a foundation of trust. Thus any act of plagiarism strikes at the heart of the meaning of the university and the purpose of the School of Public Policy. It constitutes a serious breach of professional ethics and it is unacceptable.

Plagiarism is the use of another's words or ideas presented as one's own. It includes, among other things, the use of specific words, ideas, or frameworks that are the product of another's work. Honesty and thoroughness in citing sources is essential to professional accountability and personal responsibility. Appropriate citation is necessary so that arguments, evidence, and claims can be critically examined.

Plagiarism is wrong because of the injustice it does to the person whose ideas are stolen. But it is also wrong because it constitutes lying to one's professional colleagues. From a prudential perspective, it is shortsighted and self-defeating, and it can ruin a professional career.

The faculty of the School of Public Policy takes plagiarism seriously and has adopted a zero tolerance policy. Any plagiarized assignment will receive an automatic grade of "F." This may lead to failure for the course, resulting in dismissal from the University. This dismissal will be noted on the student's transcript. For foreign students who are on a university-sponsored visa (e.g. F-1, J-1 or J-2), dismissal also results in the revocation of their visa.

To help enforce the SPP policy on plagiarism, all written work submitted in partial fulfillment of course or degree requirements must be available in electronic form so that it can be compared with electronic databases, as well as submitted to commercial services to which the School subscribes. Faculty may at any time submit student's work without prior permission from the student. Individual instructors may require that written work be submitted in electronic as well as printed form. The SPP policy on plagiarism is supplementary to the George Mason University Honor Code; it is not intended to replace

it or substitute for it. (<http://www.gmu.edu/facstaff/handbook/aD.html>)

### **Academic Accommodation for a Disability**

If you are a student with a disability and you need academic accommodations, please email and then make an appointment to see me and contact the Disability Resource Center (DRC) at 703-993-2474. All academic accommodations must be arranged through the DRC.

**WRITING TIPS**  
**By**  
**Cynthia Harrison**

[Please read and commit to memory.]

1. Use active verbs – have the subject of the sentence perform the action. Use "to be" in all its forms sparingly.

*Passive voice:* “Class time was devoted principally to discussion of the readings. All students were expected to read thoughtfully and to share their insights and observations with the class.”

*Active voice:* “This class devoted meeting time principally to discussion of the readings. Students shared insights and observations with the class.”

**Note that “passive voice” and “past tense” are different.**

“He threw the ball” uses an active verb in the past tense.

“The ball is thrown” uses a passive verb in the present tense.

In the first sentence you know who is performing the action; you don’t know who is throwing the ball in the second sentence.

2. Avoid using "this" as pronoun; follow it with a noun to eliminate confusion about what you mean.

*Vague:* “Despite data to the contrary, the American public believes that women receiving welfare have a higher birth rate than non-recipients. This is because the media focus on women who do not represent the average welfare mother accurately.”

*Clearer:* “Despite data to the contrary, the American public believes that women receiving welfare have a higher birth rate than non-recipients. This misperception comes from a media focus on women who do not represent the average welfare mother accurately.”

NEVER use the phrase “This is because . . . .” It is both vague and syntactically irregular. (“This is so because . . . .” fixes the syntactical problem but it remains vague.)

3. Avoid labels, jargon, slang, colloquialisms. Use the word “incredible” only when you mean the person genuinely can’t be believed.
4. Quotations: Whenever you use someone else’s words, you must enclose them in double quotation marks. (If the selection is longer than five lines, indent *instead of* using quotation marks. Don't use italics to indicate a quote. Italics denote foreign phrases, court cases, and titles; they are also used for emphasis.) You must also include a citation to the source, including a page number. You should use direct quotations from sources rarely – only when the precise wording is essential to your point. Otherwise, synthesize and paraphrase. However, when you do quote from

either a secondary or a primary source, you must introduce the quoted material in the text explaining who the speaker is, not just drop it in without warning.

*Examples of introductions:*

As historian Alice Kessler-Harris noted: ". . . ." [or]

In the words of political scientist Cynthia Burack, ". . . . "

In addition, quotations must fit syntactically in the sentence. Add words in brackets or delete words and use ellipses, if necessary. **NOTE: A quotation within a quotation requires single quotation marks; quoted material within the body of an indented quotation requires double quotation marks.**

5. Ellipses: Omit ellipses at the beginning and end of quotations. Use three periods, each separated by a space [ . . . ], for omissions within sentences and four periods [ . . . . ] for omissions that include the end of a sentence. (Do not include the brackets.)
6. Don't repeat yourself. Vary your choice of words. (See examples of introductions to quotations, above.)
7. Spell out numbers of one or two words; use numerals for others, except at the beginning of a sentence. If you must use a number as the first word in a sentence, spell it out. Use numerals with "percent" and spell "percent" rather than using the percent sign.
8. Use apostrophes to denote possession EXCEPT for "its." "It's" means ONLY "It is." The possessive form of "its" has no apostrophe. Plurals do not use apostrophes unless they are being used as a possessive. E.g. "The Harrisons came to dinner." But: "This is Professor Harrison's class." And: "This is the Harrisons' car."
9. Avoid the word "things," as in "Things changed rapidly." Use a specific phrase: "The political context changed rapidly."
10. Avoid the first person in formal writing ("I think the evidence fails to support the thesis"). The statement "The evidence fails to support the thesis" suffices. If you must include your own response, use the third person: "This reader finds that the evidence fails to support the thesis."
11. Avoid contractions in formal writing.

### WRITING EVALUATION CRITERIA

Name: Date: Assignment: Grade:	Excellent	Good	Satisfactory	Unsatisfactory	Comment
<i>Quality of Content</i>					
Addresses assignment					
Analytical clarity/persuasiveness					
Objectivity					
Quality of source material					
Use of evidence/methodology					
<i>Tone, Structure &amp; Organization</i>					
Tone correct for intended audience					
Clear intro, thesis, conclusion					
Use of transitions, headings and other cohering strategies					
Logical & coherent paragraphing in support of main points					
<i>Mechanics</i>					
Correct citation, documentation					
Required elements (title page, works cited [if more than those in footnotes]), length (word count), page #					
Grammar, spelling, punctuation, article use					

*Abbreviations/symbols in comments:* ¶ = paragraph; # = number agreement; awk = awkward; frag = sentence fragment (incomplete sentence); wc = word choice; pv = passive voice (all of which you want to avoid)

Source: Professor Jonathan Gifford, SPP, GMU

Your instructor will be using criteria such as these to grade your written work.

### Recommended Websites

<a href="http://www.gao.gov">http://www.gao.gov</a>	Government Accountability Office*	Legislative Branch Agency
<a href="http://www.cbo.gov">http://www.cbo.gov</a>	Congressional Budget Office*	Legislative Branch Agency
<a href="http://www.cato.org">http://www.cato.org</a>	CATO Institute	Libertarian Think Tank
<a href="http://www.cia.gov/">http://www.cia.gov/</a>	Central Intelligence Agency	Executive Branch Agency
<a href="http://www.cbpp.org">http://www.cbpp.org</a>	Center on Budget and Policy Priorities	Progressive/Liberal Think Tank (despite nature of org., data generally respected)
<a href="http://www.brookings.edu/default.htm">http://www.brookings.edu/default.htm</a>	Brookings Institution	Middle of Road Think Tank (formerly liberal)
<a href="http://www.heritage.org">http://www.heritage.org</a>	Heritage Foundation	Conservative Think Tank
<a href="http://www.aei.org/research/research.htm">http://www.aei.org/research/research.htm</a>	American Enterprise Institute	Conservative Think Tank
<a href="http://www.ctj.org">http://www.ctj.org</a>	Citizens for Tax Justice	Labor-funded, Liberal
<a href="http://www.concordcoalition.org">http://www.concordcoalition.org</a>	Concord Coalition	For Balanced Budgets (data generally respected)
<a href="http://www.ombwatch.org/excreport">http://www.ombwatch.org/excreport</a>	OMB Watch	Liberal Advocacy
<a href="http://epinet.org">http://epinet.org</a>	Economic Policy Institute	Economic Policy Group Focusing on Impact on Low and Middle Incomes
<a href="http://www.urbaninstitute.org">http://www.urbaninstitute.org</a>	Urban Institute	Liberal Think Tank (data generally respected)
<a href="http://www.nas.edu">http://www.nas.edu</a>	National Academy of Sciences*	Scientific Society
<a href="http://www.plainenglish.co.uk/">http://www.plainenglish.co.uk/</a>	Plain English	Advocacy Organization Based in U.K.
<a href="http://www.oecd.org/home">http://www.oecd.org/home</a>	Organization for Economic and Community Development*	Intergovernmental/International Think Tank: Good Source of Comparative Data
<a href="http://www.whitehouse.gov/omb/">http://www.whitehouse.gov/omb/</a>	Office of Management and Budget	Official Governmental Website
<a href="http://europa.eu.int/index_en.htm">http://europa.eu.int/index_en.htm</a>	European Union	Official Website for the E.U.
<a href="http://www.firstgov.gov/Topics/Reference_Shelf.shtml">http://www.firstgov.gov/Topics/Reference_Shelf.shtml</a>	FirstGov*	Official U.S. Gov. Website Featuring Reference Materials/
<a href="http://www.fedstats.gov/">http://www.fedstats.gov/</a>	Federal Statistics*	U.S. Gov. Statistics Gateway from 100+ agencies
<a href="http://thomas.loc.gov/">http://thomas.loc.gov/</a>	Thomas*	Legislative Information from Library of Congress
<a href="http://www.taxpolicycenter.org/">http://www.taxpolicycenter.org/</a>	Tax Policy Center*	Joint effort of Urban Institute and Brookings Institution (reliable tax distribution data)

\* = excellent source of reliable data and analysis (if any) and a particularly useful site.