

December 2017

Syllabus

Putting Policy into Action: Strategic Implementation of Public Objectives PPG 1007H

Winter 2018

Instructors

Ian Clark (Section I)
Janet Mason (Section II)
Barry Goodwin (Sections III, IV)

Teaching Assistants

Danielle Pineda – Sections I and II
Nicola Dalla Guarda – Sections III and IV

Class: Sections I, II and IV Wednesdays, 2 - 5
Section III Wednesdays, 10 - 1

Location: Section I - CG 361
Section II - UC 330
Sections III and IV - CG 160

Please note that the two plenary sessions will be held on Wednesday afternoons in CG 160.

Office Hours: By appointment

Introduction

Addressing complex public policy challenges requires good ideas, arrived at through rigorous analysis and open debate, and strong implementation. Policy failure can be caused by many factors, ranging from poor problem definition, inadequate framing and analysis of policy options and inappropriate choice or mix of implementing instruments, to inadequate understanding of the delivery chain, weak risk assessment and lack of clarity around assigned accountabilities. Executing policy successfully requires an integrated consideration of these types of factors.

This is a foundational course in policy practice. It is interdisciplinary, drawing on key concepts from economics, politics, other social sciences, business and public administration as well as the world of the policy practitioner. It introduces you to thinking in a critical, integrated way about how to deliver on public policy objectives in the context of a dynamic political and stakeholder environment. Specifically, it examines key considerations in developing an implementation strategy for a policy initiative. Your instructors, Ian Clark, Janet Mason and Barry Goodwin, have built this course drawing on their significant experience as leaders in both policy and delivery in the federal and Ontario public services and elsewhere.

This course has two main objectives:

1. To provide you with an overview and basic understanding of implementation strategy and of certain critical success factors in developing and executing one.

2. To help you hone your analytical, problem-solving, communications, and team working skills in arriving at a recommended course of action (your advice to a decision maker), applying these critical success factors.

What Students Can Expect to Learn

The course is organized throughout the twelve-week term along four thematic lines:

- I. **What is implementation? How is the public good enhanced in real world policy implementation?** Achieving public policy outcomes in the public interest is hard. Results can be improved with rigorous analysis and the design of strategies that clearly link to outcomes. We will examine the policy/delivery continuum and where implementation fits in the policy cycle. We will look at how problem definition influences the choice of policy tool or mix of tools (legislation, regulation, tax incentives, direct spending, etc.) and shapes implementation options. We will build an understanding of what constitutes an implementation strategy. A senior guest practitioner will walk us through some live case examples of policy implementation challenges. Seminars 1, 2 and 3.
- II. **How does context affect implementation?** Policy implementation occurs in a political environment. The fiscal and political contexts are major factors that determine the design of implementation strategy. Stakeholders and the media (conventional, social) play significant roles in influencing ideas and public opinion on how well policy is being delivered. We will come to understand the complexity of the implementation landscape, how it influences implementation strategy and outcomes. Seminars 4 and 5.
- III. **What are some of enabling conditions that contribute to implementation success?** Building an implementation strategy requires an understanding of not only context but also of key resource and capacity conditions that will contribute to implementation success. In this section of the course, we will delve into the creation of a delivery system and how to ensure that the appropriate governance and accountability mechanisms are in place to drive performance and help achieve the desired outcomes. We will also start to examine how to construct and communicate your strategy by reviewing the risks major categories of risk, comparing different implementation strategies (options) in terms of their ability to mitigate such risks. Seminars 6, 7, 8.
- IV. **How to communicate implementation advice?**
As policy professionals, whether working inside or outside government, you will be called upon to clearly and concisely present sound advice on alternative courses of action to decision makers, based on rigorous, evidence-based research and analysis and the application of good judgment around risk and feasibility. Communications and framing are mission-critical skills for policy professionals. A senior guest practitioner will discuss with you what communicating advice looks like with reference to current examples (Seminar 9). The Minister's Briefing simulation (Seminars 10, 11) will offer you hands on experience in presenting policy implementation advice to an external guest.

The common thread running through the seminars week to week is that effective implementation is hard. It requires rigorous analysis, collaborative problem solving and course alteration at every step of the process. It frequently requires the rethinking of assumptions and approaches and the synthesis of these into something new. During the semester, we use practical examples to help you understand how decision makers think about implementation and what they do. In two plenary seminars, invited guest speakers bring their professional experience and insights into the class, providing 'live' case material for you to consider.

Through readings, class discussion and both group and individual assignments, you should seek to become comfortable engaging in debates around implementation choices and challenges, be

able to offer alternative strategies or choices based on your assessment of critical success factors and to discuss how these might lead to the same or different outcomes.

Course Outline and Reading List

The required readings for each seminar provide important background to the work you will do in class, in work teams and on your own.

To the extent possible, all readings are posted on Blackboard. Some modifications to the required readings may be made during the semester in response to new developments or reports or where a specific case example is to be discussed in the next class. If so, your Instructor will advise you and update Blackboard. Please check the Course Documents for your section each week to ensure you have the right readings for the next class.

In addition, as a supplementary resource, approximately 200 concepts on the Atlas of Public Management have been identified as being particularly relevant to this course. They are organized under 12 headings that are roughly aligned with the subject matter dealt with in each of the 12 classes. These can be found at [Top 120 + 80 Concepts for PPG1007](#).

I - What is Implementation?

Seminar 1: Course Overview and Key Themes January 10

This seminar introduces the concept of policy implementation and provides an overview of the key concepts and themes to be covered in the course, including what comprises an implementation strategy and why implementation is difficult. We will review the overall learning objectives, course design and mandatory requirements, and discuss the graded assignments.

Required Reading

Course Syllabus. PDF on Blackboard.

Moore, Mark H. *Creating Public Value: Strategic Management in Government*. (Cambridge, Mass: Harvard University Press, 1995). Chapter 1, 13-21, PDF on Blackboard.

Optional

Graham, Andrew, "Pressman/Wildavsky and Bardach: Implementation in the public sector, past, present and future", *Canadian Public Administration*, Vol. 48, No. 2, 2005. pp. 268-273. Book Review. PDF on Blackboard.

Pal, Leslie, 'Problem Definition in Policy Analysis', in *Beyond Policy Analysis* (Toronto: Nelson Education, 2014), Chap 3. PDF on Blackboard.

Briefing Note 1 assigned. Due January 31.

Seminar 2: Strategic Management in the Public Sector and the Demand for Effective Implementation

January 17

This week focuses on strategic management in the public sector, including how we frame the issue and how we choose the appropriate public policy tool or instrument. We will discuss the constant interplay between evidence and analysis, problem definition, and the tools of public policy. We examine why implementation matters.

Required Reading

Moore, Mark H. *Creating Public Value: Strategic Management in Government*. (Cambridge, Mass: Harvard University Press, 1995). Chapter 2, 52-56, Chapter 3, 57-77. PDF on Blackboard.

Moore, Mark H. *Recognizing Public Value*. (2013; Cambridge, Harvard University Press) pp. 1-10, plus Figure A.1. in Appendix. PDFs on Blackboard.

Pal, Leslie, 'Policy Instruments and Design', in *Beyond Policy Analysis* (Toronto: Nelson Education, 2014), Chap. 4, 131-164. Comparative analysis of policy tools; if short of time, focus your reading on pages 129-136 and 150-173. PDF on Blackboard.

Optional

Moore, Mark H. *Creating Public Value: Strategic Management in Government*. (Cambridge, Mass: Harvard University Press, 1995). All of Chapters 2 and 3, (80 pages: 22-102). PDFs on Blackboard.

Moore, Mark H. *Recognizing Public Value*. (2013; Cambridge, Harvard University Press), all of Chapter 1. (52 pages: 19-71).

Dean, Tony, "Is Public Service Delivery Obsolete?" *Literary Review of Canada*, September 2011. PDF on Blackboard.

Briefing Note Workshop this week. Students register for their Minister's Briefing group topic. Students will be assigned by team to the February Minister's Briefing Workshop.

Seminar 3: Real Cases of Policy Challenges and Responses

January 24

Class meets in plenary, CG 160, 2 – 5 p.m.

Guest: David Szwarc, Chief Administrative Officer, Region of Peel.

Working to advance the public good demands a long term perspective on the policy objectives to be achieved while taking action toward them over the short and medium term. However, the real world dynamic of decision making is frequently driven by mainly short term issues, events and considerations. Often the initial challenge is to determine what exactly the problem is and what role (if any) government might play in fixing it. How do stakeholder and public opinion shape both problem definition and the potential range of solutions that are considered? How do decision makers balance these with evidence in determining a course of action? Our guest speaker today

will walk through some case examples from his own experience as the chief executive of Peel Region, challenging you to assess and present what you would do.

Required Reading

Five case examples prepared by our guest speaker will be posted on Blackboard. In preparation, read the cases against the assigned questions outlined in the case material and be ready for discussion in class where you may be cold-called by our guest speaker to present your analysis and recommended course of action.

II –The Context of Implementation

Seminar 4: The Political and Fiscal Context - Gaining Legitimacy and Support January 31

This week we look at the broader context for implementation and how this influences and alters how the policy problem is framed, what tools are chosen and the overall design of implementation strategy. We place particular emphasis in this seminar on how the fiscal and political context continually interact to determine priorities, implementation strategies and eventual policy outcomes.

Required Reading

Moore, Mark H. *Creating Public Value: Strategic Management in Government*. (Cambridge, Mass: Harvard University Press, 1995). Chapter 4, pp 111-119, PDFs on Blackboard.

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Optional

Moore, Mark H. *Creating Public Value: Strategic Management in Government*. (Cambridge, Mass: Harvard University Press, 1995). All of Chapter 4, (19 pages: 105-134). PDFs on Blackboard.

Briefing Note 1 due.
Briefing Note 2 assigned. Due February 28.

Seminar 5: The Stakeholder Context - Interests and Perspectives on Change February 7

This week we examine a second major contextual factor - the role of stakeholders, other critical interests and the public in implementation. The landscape or space for implementation –the implementation environment- is characterized by complex, diverse networks of players across the public, private and non-profit sectors. How does this landscape shape the policy tool chosen and in turn be shaped by it? What does government bring to the implementation table, and what do other players? How do these get aligned? How can government be more effective in reaching diverse populations and stakeholders?

Required Reading

Moore, Mark H. *Creating Public Value: Strategic Management in Government*. (Cambridge, Mass: Harvard University Press, 1995). Chapter 4, Sections on The Media; Interest Groups, pp 119-125, PDFs on Blackboard.

Lenihan, Don. *Rescuing Public Policy*. (Public Policy Forum, 2012) Chapter 6, "The Principles of Public Engagement", pp. 119-128. PDF on Blackboard.

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III – Enabling Conditions in Implementation

Seminar 6: Designing the Delivery Model and Improving Performance February 14

Moving from broader contextual considerations, we turn now to thinking very practically about implementation. Over the next three seminars, we will look at a set of enabling conditions for effective implementation. This week we examine how policy leaders begin to structure and manage a delivery model where the key levers for change lie beyond government itself. What are the opportunities and the challenges of working in a particular mode within and across sectors? How are relationships and trust built? How are delivery agents held accountable for success? Does digitization change the game?

Required Reading

Bardach, Eugene. *A Practical Guide for Policy Analysis*. (Washington: CQ Press, 2009). Part 1. 'The Eightfold Path, Step One: Define the Problem', 1-10 and Appendix B, 'Things Governments Do', 141-149. PDF on Blackboard.

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Optional

'Delivery Chain', Cabinet Office Delivery Toolkit, OPS internal document, May 2011. PDF on Blackboard.

Bovens, Mark and Stavros Zouridis, 'From street-level to system-level bureaucracies: how information and communication technology is transforming administrative discretion and constitutional control', in *Public Administration Review*, 62.2, March/April 2002, 174-181. PDF on Blackboard.

Minister's Briefing Workshop this week

The MB Workshop will provide you with additional instruction and coaching on how to prepare and present a briefing designed to support and facilitate decision making by government. The Minister's Briefing is the culminating assignment in the course. To be successful, students are required to undertake extensive research and analysis in order to prepare a short, focused presentation that clearly outlines the issue, objectives, optional approaches and recommended approach for decision makers. The MB Workshop is an opportunity for your team to receive some tips and insights from your MPPII Teaching Assistants. In advance of the workshop, please scan the Minister's Briefing rubric and the sample presentation decks posted in the Assignments section of Blackboard and come to your workshop with questions your team needs answered.

Reading Week February 19-23. No class this week.

Seminar 7: Performance Measurement, Accountability, and Good Governance February 28

This week we look at how to achieve results. You need to understand the challenges and risks both in your environment and in your implementation strategy and then find ways to mitigate these. We will focus on mobilizing resources and networks, capacity and accountability challenges and challenges in securing real, measurable outcomes.

Required Reading

Moore, Mark. *Recognizing Public Value*. (2013; Cambridge, Harvard University Press) pp. 410-416. PDF on Blackboard.

Paul G. Thomas, "Why is Performance-Based Accountability So Popular in Theory and So Difficult in Practice?", in KPMG *Holy Grail or Achievable Quest: International Perspectives on Public Sector Performance Management*. 169-187. 2008. PDF on Blackboard.

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Optional

Moore, Mark. *Recognizing Public Value*. (2013; Cambridge, Harvard University Press) All of Conclusion (16 pages, 400-416). PDF on Blackboard.

Moore, Mark and Jean Hartley, 'Innovations in Governance' in Stephen Osborne, *The New Public Governance?* 57-69. (Abingdon: Routledge). 2010. Case examples of governance innovations. PDF on Blackboard.

Michael Barber, Paul Kihn, Andy Mofit, February 2011, 'Deliverology – from Ideas to Implementation', McKinsey and Company. <https://www.mckinsey.com/industries/public-sector/our-insights/deliverology-from-idea-to-implementation>. PDF on Blackboard

Rachel Curran, 'The Trudeau government's focus on deliverology shouldn't distract it from building the public service's policy muscle', *Policy Options*, April 27, 2016. PDF on Blackboard.

'Risk Management: A Framework for the Identification, Assessment and Management of Policy Risks', Barry Goodwin, December 2015. An example of risk management methodology at the level of an organization. PDF on Blackboard.

Briefing Note 2 due today.

Seminar 8: Communicating Policy

March 7

This week we focus on how to incorporate the results of stakeholder consultations into the design of implementation options, including how to use options as a critical component in a strong, evidence-based narrative. This class helps integrate our learning from earlier seminars on the importance of context, the strengths and weaknesses of delivery systems and of governance and accountability frameworks in designing and communicating an implementation strategy.

Required Reading

Case examples to be assigned.

Covello, Vincent and Peter Sandman, 'Risk Communication: Evolution and Revolution', 2001. PDF on Blackboard.

Government of Canada Directive on the Management of Communications (2016) at <https://www.tbs-sct.gc.ca/pol/doc-eng.aspx?id=30682>

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IV – Communicating with Decision Makers

Seminar 9: 'Frank and Fearless' Advice

March 14

Class meets in plenary, CG 160, 2 – 5 p.m.

Guest: Peter Wallace, City Manager, Municipality of Toronto and former Secretary of Cabinet, Government of Ontario.

Being able to communicate effectively with decision makers is critical to your success as a policy professional. This week we will hear from a leading policy practitioner on how to communicate professional advice and recommendations in a way that will resonate with elected decision makers. How can we effectively 'speak truth to power'?

Required Reading

<ARTICLES FROM THE PRESS TBD>

Optional Reading

Zussman, David, "Governance: the new balance between politicians and public servants in Canada", *Optimum Online*, Vol. 38, Issue 4, 2008. PDF on Blackboard.

Aucoin, Peter. 'New Political Governance in Westminster Systems: Impartial Public Administration and Management Performance at Risk' in *Governance*, April 2012, Vol. 25, Issue 2, 177-199. PDF on Blackboard.

Seminars 10 and 11: Minister's Briefing: Implementation Plan March 21 and March 28

Team presentations to an invited guest who will play the role of Minister. Class participation may be via assigned roles. Sections III and IV may be combined for presentation purposes.

Required Reading

Group Presentations to be submitted **by Monday noon, March 19 and March 26 respectively depending on date of presentation**. In preparation and from the perspective of any role assigned to you in advance, critically assess the implementation analysis and recommendations of each presentation, drawing on concepts and themes we've covered in the course. Come to class prepared to provide constructive feedback to the briefing team in addition to questions posed by the guest Minister.

Group Project Final Reports (final slide deck and speaking notes) due April 3, 5:00 pm.

Seminar 12: Review, Discussion, Wrap Up, Evaluation April 4

Required Reading

Moore, Mark H. *Creating Public Value: Strategic Management in Government*. (Cambridge, Mass: Harvard University Press, 1995). Conclusion, 295-309, PDF on Blackboard.

Graduate Teaching Evaluations due (in class)

Evaluation

Your final grade is comprised of:

I.	Class Participation	15%
II.	Briefing Notes (2)	45%
III.	Minister's Briefing	40%

Class Participation (15%)

Your physical presence in class is a basic prerequisite for engaging in discussion. Attendance will be taken each week; it is the student's responsibility to account for any absences.

We expect each student to arrive at every class having completed the Required Readings and ready to contribute to lively discussion of the day's topic with classmates, your Instructors and guest speakers. Your grade will be based on your consistent, constructive and high quality contributions to seminar discussions and your demonstrated teamwork.

This includes participating fully in the Briefing Note and Minister's Briefing workshops that will be organized and led by the TAs for the course. The workshops are designed to provide hands-on, small group practice in developing critical features of your analysis, such as framing the issue statement and identifying and evaluating strategic implementation options. You will also gain

further insights into how to organize and communicate analysis to support decision making, and (for the Minister's Briefing) in how to field questions.

Briefing Notes (45%)

This is a two-part, sequential assignment, worth 15 and 30% of your final mark. The first will require you to develop a background assessment of an assigned implementation challenge. In the second, you will take this further by developing strategic options and a recommended course of action for a decision maker. Each Note will be a maximum of two pages in length (single spaced, 11 point font, standard margins) and be written in a concise, professional style. Notes are due electronically **January 31 and February 28**, midnight. Each Note will be assessed on the quality of your research, your analytical and problem-solving skills, your ability to appropriately apply concepts covered in class to date, your creativity and the clarity and focus of your writing.

Implementation Plan – Minister's Briefing (40%)

This assignment challenges you to integrate what you have learned in the course and provides you with experience in formulating and communicating to a decision maker rigorous implementation advice on a current policy problem. Your individual mark is the group mark.

Early in the term you will select a topic from a list prepared by your instructor. Then, working in a three or four-person team, you are expected to research the contextual challenges, identify the main implementation issue, develop and assess strategic options for addressing it and prepare a concise presentation (10-12 power point slides) containing your recommended course of action. For the simulated Briefings in March, the respective teams will give a 12-to-15-minute presentation of their analysis and recommendations to an invited guest 'Minister', responding to the Minister's questions at any time. Class members may enrich the discussion through role playing as members of Cabinet.

Each team will submit a maximum two page Outline and their research bibliography in advance of a team meeting that you will set up with your Instructor by the end of February. This is an informal meeting to receive feedback on your work to date. In addition this month, the TAs will run a Minister's Briefing workshop on the technical aspects of developing and presenting a briefing. Your Instructor may also create space in some of the seminars for teams to get hands on practice in applying concepts and principles from the course to their Briefing topic.

The final written products to be submitted for marking **by April 3** are the presentation deck and speaking notes, which each team will finalize after the simulated briefing. These products will be assessed on the quality and originality of your research, the rigour of your options and analysis and the clarity, focus and economy of your writing.

Late Penalties

Because the knowledge in this course is cumulative, consistent adherence to deadlines is crucial for your learning. You are expected to submit all assignments on time. If you miss a deadline, your mark for this component will be reduced by 3% for the first full late day, including weekends, and 1% for every day late after that. The only exception is when a student meets conditions that will be accepted by the University as meeting conditions for missed exams.

Seminar Schedule and Structure

Each seminar, unless otherwise announced, will start promptly at 2:10 p.m. (or 10:10 a.m.) and finish at 5 p.m. (or 1:00 p.m.), with one 15-minute break. The class meets by section except for

the two plenary sessions where guest speakers will share their insights and experience with you. If other plenaries are scheduled, you will be notified in advance.

Our Expectations of Students

Writing and Communication Skills

The quality of your writing will have a significant impact on your grade. In the world of public policy, whether inside or outside government, the ability to produce concise, high quality, plain language analysis and advice (one-pagers, briefing notes, think pieces, slide decks, etc.), and to speak to it, is critical to survival. In this course, you are expected to produce clear, logical, concise and well-organized documents that demonstrate your critical and creative thinking, problem solving and communications skills.

If you need support in improving your writing skills, please speak with your instructor or your Teaching Assistant, or access directly the writing support services provided by the School of Graduate Studies at <https://www.sgs.utoronto.ca/currentstudents/Pages/English-Language-and-Writing-Support.aspx>

Plagiarism

The university administration and faculty, including your instructors, take plagiarism very seriously. Plagiarism means presenting work done by another person or source as your own, or using the work of others without acknowledgement. Heavy reliance on one or two resources constitutes plagiarism, as does cutting and pasting from web-based or other documents without proper citation. Any assignment that is plagiarized will be managed according to the U of T Code of Behaviours on Academic Matters. The U of T web site www.utoronto.ca/writing contains useful tips on how not to plagiarize if you need a refresher in this area.

Diversity and Inclusion

The School of Public Policy and Governance is committed to creating and fostering a positive teaching, learning and working environment based on open communication, mutual respect and inclusion. The School expects behavior that is welcoming, supportive, respectful of cultural and individual difference and free from discrimination and harassment at all times, both within and outside the classroom. In this course, each voice in the classroom has something of value to contribute to class discussion. Please respect the different experiences, beliefs and values expressed by your fellow students, faculty member(s) and guest speakers.

Accessibility Needs

U of T is committed to accessibility. If you require accommodations for a disability, or have any accessibility concerns about the course, please speak with your Instructor or contact Accessibility Services as soon as possible: <http://studentlife.utoronto.ca/accessibility>.