

COURSE SYLLABUS
Dartmouth College, Fall 2020 Term
PBPL 45.01/.02: Introduction to Public Policy Research

Professor Ronald G. Shaiko, Senior Fellow and Associate Director, Rockefeller Center

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Office Hours: Tuesdays/Thursdays

12:30pm-2:30pm and by
appointment

Faculty Mentors:

Professor Serge Severenchuk

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Professor Daniel Schroeder

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Class Hours: J: Tuesdays/Thursdays, 10:20am-12:10pm

X-Period: Fridays, 4:00-4:50pm

Classroom: Fairchild 101/Rockefeller 1

Lab room: Rockefeller 201

Course Webpage: canvas.dartmouth.edu

- 1. Prerequisites:** This class is open to students who have taken one of the social science statistical methods classes offered as prerequisites for social science majors (e.g., ECON 10, GOVT 10, PSYCH 10, SOCY 10, PBPL 10). It is also useful for students to have taken PBPL 5: Introduction to Public Policy, but this course is not required. The course will serve as one of the two methods courses necessary to complete the Public Policy minor in the Rockefeller Center, although the class is not limited to Public Policy minors. The course will also serve as the training ground for prospective applicants wishing to serve in the Class of 1964 Policy Research Shop during any terms subsequent to successfully completing this course. For this term, we will be including students currently on campus as well as remote students in a synchronous hybrid model of teaching and learning.
- 2. Course Objectives:** This course focuses on strategies for, and actual practice of, conducting research relevant to public policy discussions. The key objectives for this course are:

Knowledge-based

- Familiarize you with the legislative process at the state level, with particular emphasis on New Hampshire and Vermont, the ways that policy research may influence this process, as well as the relationships between the executive and legislative branches in these states;
- Develop personal expertise with specific policy issues and key policy options for addressing these issues;
- Develop your understanding of how differences in geography, economy, and government influence the options for policy alternatives; and
- Familiarize you with the policymaking process at the local level in the Upper Valley.

Skills-based

- Further develop and practice key research competencies, including conducting literature reviews, background research, and data collection and analysis;
- Further develop your research writing skills and ability to produce ‘professional quality’ policy research reports (including writing executive summaries);
- Improve your public speaking skills through oral presentations of research findings; and
- Improve your skills at providing constructive feedback and working in a team environment.

- 3. Professors' Roles** – Like other courses at Dartmouth, Professor Shaiko will supervise the working environment and will assign your grade. Unlike many other courses at Dartmouth,

Professor Shaiko will not be alone in providing input and feedback into the projects undertaken throughout the term. Two additional faculty mentors will be assisting in the development and implementation of the class projects—Professor Serge Severenchuk and Professor Daniel Schroeder. Each of these professors is a member of the Rockefeller Public Policy faculty. Professor Severenchuk received his Ph.D. in political science from the University of North Carolina at Chapel Hill in 2019; he is beginning his second year of his post-doctoral fellowship with the Center. Professor Schroeder received his Ph.D. in social psychology from the University of Texas at Austin in 2001. For the past two decades, Professor Schroeder has worked at the Ray Marshall Center for the Study of Human Resources, Lyndon B. Johnson School of Public Affairs, University of Texas at Austin, most recently as a research scientist. Four years ago, he joined the Rockefeller Center as a research scientist.

- The professor and faculty mentors will meet with student work groups on a regular basis to review progress and make suggestions for how best to proceed with the work on your project.
 - As part of the work-product review process, the professor and faculty mentors will critically review your interim and final products.
- 4. Student's Role** – This course will rely primarily on student initiative to find, summarize, and synthesize the existing knowledge on three specific policy projects.
- Actively collect and analyze information on relevant area of study.
 - Come to class prepared, whether doing the reading and coming to class with questions or showing up to progress report/feedback sessions with materials to share.
 - Be aware that the course is front-loaded with academic readings; the bulk of your research occurring during the last two thirds of the course.
 - Work cooperatively and collaboratively with fellow students.
 - Write, edit, revise, and proofread all final products prior to their public presentation.
- 5. Expert Consultations (X-Hours)** – To the extent possible, X-Hours will provide an opportunity for you to work directly with policy makers from your specific area of research. We will arrange for various elected officials and policy experts to give special presentations that address elements of your research topic. In some cases, a speaker may present on a topic relevant to the entire class. In others, multiple speakers may be in class at one time and we will arrange for a place for each group to meet. These periods will also provide opportunities for you to get input from the instructor and fellow students on your project progress.
- 6. Required Readings** – The following books, articles, and websites will be used throughout the term. The required books* will be read in their entirety.
- John Hird, Power, Knowledge, and Politics: Policy Analysis in the States, (Washington, DC: Georgetown University Press, 2005); Chapters 1-2, (posted on Canvas).
- *Eugene Bardach and Eric Patashnik, A Practical Guide to Policy Analysis: An Eightfold Path to More Effective Problem Solving, 5th Edition, (Washington, DC: Sage/CQ Press, 2016).
- *Kevin B. Smith and Alan Greenblatt, Governing States and Localities, 7th Edition, (Washington, DC: Sage/CQ Press, 2020). (Relevant policy chapters for Project II to be read.)
- *Robert K. Yin, Case Study Research: Design and Methods, 5th Edition, (Thousand Oaks, CA: Sage Publications, Inc., 2014)
- *John W. Creswell, Research Design: Qualitative, Quantitative, and Mixed Methods Approaches, 4th Edition, (Thousand Oaks, CA: Sage Publications, Inc., 2014).
- W. Phillips Shively, The Craft of Political Research, Chapter 1: “Doing Research,” pp. 1-12; (New York: Prentice-Hall, 1990), (posted on Canvas).

Jennifer Weiner, "Research Report: How Does New Hampshire Do It? An Analysis of Spending and Revenues in the Absence of a Broad-based Income or Sales Tax," New England Public Policy Center, Research Report 11-1 (April 2011), 44 pp. (posted on Canvas); (<http://www.bostonfed.org/economic/neppc/researchreports/2011/rr1101.htm>).

Electronic files:

National Conference of State Legislatures (NCSL). 2018 Legislative Data. (<http://www.ncsl.org/research/about-state-legislatures/full-and-part-time-legislatures.aspx>) and (<http://www.ncsl.org/research/about-state-legislatures/legislator-data.aspx>).
NCSL. 2018 Legislative Salaries/Per Diems by State (<http://www.ncsl.org/research/about-state-legislatures/legislator-compensation-2018.aspx>)
NCSL. 2018 Partisan Composition of State Legislatures and Demographics. (<http://www.ncsl.org/research/about-state-legislatures/legislatures-at-a-glance.aspx>) and (http://www.ncsl.org/Portals/1/Documents/Elections/Legis_Control_071018_26973.pdf)
NCSL. Legislative Staff, 1979-2009. (<http://www.ncsl.org/research/about-state-legislatures/staff-change-chart-1979-1988-1996-2003-2009.aspx>)

7. Grading--

Class Participation: 20% (IRB training, attendance, participation in feedback, class assignments)

Policy Project I (Group Projects: Analysis of NHCPPS What is New Hampshire? data): 20% (15% Report, 5% Feedback)—due in class on October 8; critiques due on October 13.

Policy Project II (Group Projects: NH and VT policy issues): 35% (10% Presentation, 25% Report)—due in class on November 3; presentations on November 3 and 4.

Final Grant Project—Foundation Grant Proposal: 25% (5% Presentation, 20% Paper)—oral presentations on November 17; final proposal due on November 20.

8. Course Outline --

Week 1: Tuesday, September 15: Introduction to the Seminar and the Policy Research Shop

During our first class meeting, we will discuss the content of the seminar, the context within which the course is designed, the possibilities of working in the Rockefeller Public Policy Research Shop (PRS) during the winter and spring terms following the course, and the roles of Professor Shaiko and Professors Severenchuk and Schroeder in each of these enterprises. In addition, we will discuss the format of the class, X-Period utilization, invited speakers, and the production of work products for the course. We will also discuss a stand-alone module on public speaking, prepared by the Rockefeller Center staff that will be offered to students in this class.

Thursday, September 17: Conducting Public Policy Research in a University Setting

The Institutional Review Board is a key component in any major research university; the IRB at Dartmouth provides the mechanism through which faculty, post-doctoral fellows, and, at times, students receive clearance to conduct their research. Prior to receiving clearance, researchers must complete an online training session. We will begin the training session in class; you will complete the session by class time on **Tuesday**.

Week 2: Tuesday, September 22: The Role of Social Science Research in Social Problem Solving

Read: W. Phillips Shively, The Craft of Political Research, Chapter 1: “Doing Research,” pp. 1-12 (posted on Canvas);
Hird, Power, Knowledge, and Politics, Chapters 1-2, pp. 1-67 (posted on Canvas).
Creswell, Research Design, Part I: Chapters 1-4, pp. 3-103.
Analyze: The limits and possibilities of applied social science research in public policymaking.

Thursday, September 24: Public Policy Research at the State Level: The Importance of Political Context/Introduction to Project I

Read: Weiner, “Research Report: How Does New Hampshire Do It?” (posted on Canvas).
Smith and Greenblatt, Governing States and Localities, Chapters 1-6, pp. 1-173. (Introduction/Federalism/Constitutions/Finance/Political Attitudes/Parties and Interest Groups)
National Conference of State Legislatures (NCSL). 2018 Full-time and Part-time Legislatures. (<http://www.ncsl.org/research/about-state-legislatures/full-and-part-time-legislatures.aspx>)
NCSL. 2018 Legislative Salaries/Per Diems by State. (<http://www.ncsl.org/research/about-state-legislatures/2018-state-legislator-compensation.aspx>)
NCSL. 2018 Partisan Composition of State Legislatures. (<http://www.ncsl.org/research/about-state-legislatures/partisan-composition.aspx>)
NCSL. Legislative Staff, 1979-2009. (<http://www.ncsl.org/research/about-state-legislatures/staff-change-chart-1979-1988-1996-2003-2009.aspx>)
NCSL. Legislator Data: Women (2015), Hispanics (2009), African-Americans (2009), Leaders (2015) (<http://www.ncsl.org/research/about-state-legislatures/legislator-data.aspx>)
Analyze: Age, occupation, length of tenure, and constituencies of NH and VT legislators; assess the institutional limitations of policymaking in part-time, non-professionalized legislatures.

Project I: Analysis of New Hampshire Data for a Specific Public Policy Client (Group Project)

The first project for class will entail an analysis of a report published by the now defunct New Hampshire Center for Public Policy Studies. Annually, NHCPPS produced a broad and extensive overview of the current state of affairs in New Hampshire called, “What is New Hampshire?” These 70-90 page reports cover a wide array of issues regarding the NH economy, jobs, health, environment, and politics. Our main focus will be on the 2018 report, but groups will analyze earlier reports to discern if any patterns in the data have emerged over the past several years. The class will be divided into groups of three students. A specific public policy client will be identified for each group (e.g., AARP, Business and Industry Association (Chamber of Commerce), NEA—NH Chapter (state teachers union), NH Association of Realtors). Therefore, you will be writing your report for that specific client. As a result, some of the data presented in the NHCPPS reports will be more relevant to one group than to another group. In addition to the group/client to which you are assigned, there will be at least one other group working for the same client (i.e., there will be at least two groups writing reports for the AARP). Obviously, there should be no interaction between groups working for the same client. After the reports are handed in, the groups with the same client will swap papers. Each student will then individually critique the report handed in by the other group. So, there will be a group grade for the report worth fifteen percent of your grade and an individual critique worth five percent of your grade.

**Week 3: Tuesday, September 29: What Is Public Policy Analysis? What Forms Does It Take?
What Constitutes Data for Analysis? How Do Case Studies Inform
Public Policy Decision-making?**

Read: Bardach and Patashnik, A Practical Guide for Policy Analysis, Parts I-II and Appendix A, pp. 1-111, 141-154.

Smith and Greenblatt, Governing States and Localities, Chapters 7-10, pp. 174-308. (Legislatures/Governors and Executives/Courts/Bureaucracy)

Yin, Case Study Research, Chapters 1-2, pp. 2-65.

Analyze: Locate an example of applied social science research that has had a significant impact on public policymaking in the United States; prepare a one-page summary of this work.

Thursday, October 1: A Closer Inspection of the NHCPPS Data

Read: What is New Hampshire? 2018 Edition,

What is New Hampshire? 2016 Edition,

What is New Hampshire? 2015 Edition,

What is New Hampshire? 2010 Edition,

Census 2010: Mapping New Hampshire. (All are posted on Canvas.)

**Week 4: Tuesday, October 6: Governance and the Legislative Environments of VT and NH
Guest Speaker: NH State Senator Martha Hennessey '76 (D)**

Senator Martha Hennessey represents District 5, which is comprised of the nine Upper Valley communities of Canaan, Charlestown, Claremont, Cornish, Enfield, Hanover, Lyme, and Plainfield. Martha serves as Chair of the Judiciary Committee and is a member of the Transportation Committee. Prior to winning her Senate seat in 2017, Martha had completed her first term in the NH House, representing Hanover and Lyme. In addition to her undergraduate degree from Dartmouth in psychology, Martha earned her M.B.A. and Ph.D from the University of Pennsylvania; she has also served as an adjunct assistant professor of psychiatry at the Geisel School of Medicine.

Read: Handouts on Vermont and New Hampshire legislatures (to be posted on Canvas).

Creswell, Research Design, Chapters 5-7, pp. 107-185.

Analyze: Continue work on Policy Project I.

**X-Hour (Friday, October 9): Presentation Module: Ms. Sadhana Hall, Deputy
Director, Nelson A. Rockefeller Center**

Beginning at 4:00pm, the class will participate in a public speaking/PowerPoint presentation training module presented by **Sadhana Hall**. This program will last until 5:30pm. Please make an effort to clear your schedules for this session.

**Thursday, October 8: Interacting with Public Policymakers at the State and Local
Levels of Government: Elite Interviewing**

Read: Beth L. Leech, "Asking Questions: Techniques for Semistructured Interviews," pp. 665-668; Laura R. Woliver, "Ethical Dilemmas in Personal Interviewing," pp. 677-678; Jeffrey M. Berry, "Validity and Reliability Issues in Elite Interviewing," pp. 679-682 in PS: Political Science & Politics 35 (4), December 2002, "Interview Methods in Political Science, (posted on Canvas).

Smith and Rosenblatt, Governing States and Localities, Chapters 11-12, pp. 310-362. (Local Government/Metropolitics)

Analyze: **Policy Project I Report due in class. Individual critique will be due on Tuesday, October 13.**

Week 5: Tuesday, October 13: The Role of the Executive Branch in State Policymaking
Guest Speaker: Mark Huddleston, former President of the University of New Hampshire (2007-2018) and the 2020 Perkins Bass '33 Distinguished Visitor at the Nelson A. Rockefeller Center
“The State of Higher Education Policy in New Hampshire”

Mark Huddleston was the 19th President of the University of New Hampshire, serving from 2007 to 2018. As is the case in many states, he was the highest paid state employee as president of its flagship university (apart from states who pay football or basketball coaches multi-million dollar salaries). Prior to his service at UNH, Mark was the President of Ohio Wesleyan University from 2004 to 2007. Before going to OWU, he spent 24 years on the faculty of the University of Delaware where he rose to be Dean of the College of Arts and Sciences. In the midst of his academic career, Mark also served as a consultant to USAID and USIA, as well as international organizations in international development work in the Balkans, southern Africa, and central and southeast Asia. Mark holds a Ph.D. in political science from the University of Wisconsin-Madison.

Read: Creswell, Research Design, Chapters 8-10, pp. 155-240.

Bardach and Patashnik, A Practical Guide for Policy Analysis, Appendix B, pp.155-163.

Analyze: Institutional differences between legislatures and executive branch agencies.

Thursday, October 15: What Makes “Good” Public Policy Research? What Are the Impacts of Values on Social Science Research? More on Case Study Approach to Policy Analysis/Introduction to Project II

In class, we will present the policy topics for Project II. There will be 10 projects with each team comprised of three students. You will be given the opportunity to rank order your top three choices. Once we have your choices, we will create the teams and identify the faculty mentors for the teams.

Read: Yin, Case Study Research, Chapters 3-6, pp. 66-191.

Bardach and Patashnik, A Practical Guide for Policy Analysis, Part III and Appendices C and D, pp. 113-124, 165-179.

Chapters 13-16 in Governing States and Localities should be consulted as relevant sources for each of the projects.

Analyze: Begin your team building for Project II with faculty mentors.

Week 6: Tuesday, October 20: Begin work on Project II

Read: Initial readings listed on the project synopses handed out on October 17.

Analyze: Begin gathering additional articles, reports, and newspaper accounts on your research topics.

Thursday, October 22: Meet with Faculty Mentors on Project II (Zoom meetings)

This week, the Wednesday x-hour and the Thursday class should be used to set up meetings with your project clients—the committee chairs who presented the projects to us for consideration.

Week 7: Tuesday, October 27: Status Report and Feedback Session

Groups will continue working on their projects in class. Specifics regarding format of reports and time allotments for presentations will be discussed. Faculty mentors will be available to observe and give final advice and comment to groups in rehearsals of formal presentations.

Thursday/Friday, October 29/30: Updates on Policy Project II Reports

Each group will continue working on its project with specific attention to the oral presentations and written documents. Meetings with your mentors should be scheduled during the x-hour on Friday or in class on Thursday. Rehearsals may be scheduled for over the weekend and on Monday.

Week 8: Tuesday, November 3: Formal Oral Presentations of Project II and Brief Introduction of Final Research Project

Class will begin with a brief explanation of the Final Research Project. The introduction will allow you to begin thinking about a policy issue and a range of foundations that may be targeted for your proposal. Then, we will begin formal oral presentations of Project II. Each group will be given 15 minutes to make a formal presentation of its research findings; each presentation will be followed by a 5-10 minute question-and-answer period. Formal written reports will accompany the oral presentations. **Groups must present a hard copy of the report and post an electronic version of the report to the PBPL 45 Canvas site.** We may need to have an additional session in order to complete all of the presentations—perhaps Wednesday evening.

Thursday, November 5: Introduction to Final Research Project: Grant Proposals
Guest Speakers: Ms. Kate Norton '01, Director, Office of Corporate and Foundation Relations, Dartmouth College;
Dr. Ashley Doolittle, Associate Director of Academic Service Engagement, Center for Social Impact

For the fourth year in PBPL 45, you will be designing grant proposals for real clients—non-profit organizations in the Upper Valley. Solicited by the Center for Social Impact, Upper Valley NGOs have requested assistance in drafting grant proposals for specific programs, activities, and organizational needs. In class, two students will work for each NGO as a team, each working on developing a successful grant proposal to be submitted to an actual foundation for funding. We may have more than one team of students working for each NGO. If that is the case, there should be no communication between teams working for the same NGO. Once the students are matched with the client organization, we will make arrangements for the students working with each organization to have a meeting with the leaders of the NGO for which they are writing. Here both teams of students will meet with the NGO leader at the same time.

Read: "Proposal Writing Short Course," (New York: Foundation Center, 2005);
Lucy Knight, "Write on the Money: The Basics of Effective Proposal Writing, from Content to Structure to Length." and "Foundation and Corporate Funding Resources." (Readings are posted on Canvas.)
Analyze: The grant making process.

Week 9: Tuesday, November 10: Don't Forget the Bottom Line: Budgeting in Grant Proposals

Read: Rockefeller Center, Ford Foundation Grant Proposal
Rockefeller Center, U.S. Department of Education, FIPSE Grant Proposal
(to be handed out in class).

Thursday/Friday, November 12/13: Last Chance for Feedback/Assistance on Final Projects (Individual Meetings with Faculty Mentors)

This will be the last chance before final oral presentations of grant proposals begin. Format for the final presentations will be discussed. Your final written project will **NOT** be due at the time of the oral presentation. You will have several days to make final changes in your written report, based on comments made at the oral presentation. (This the X-Hour time slot—4:00 to 4:50pm.) Professor Shaiko will also be in his office over the weekend and on Monday at announced times.

Week 10: Tuesday, November 17: Formal Oral Presentations of Final Projects

Each team of students will make a formal presentation of the grant proposal during class on Tuesday. Based on comments received, final revisions will be made in the written proposals.

Friday, November 20: Final Written Projects will be due to Professor Shaiko by 5:00pm. If you have completed your final project prior to the deadline, please feel free to send it in early. I will then grade the proposal and copy-edit it and send it back to you. You will then make the final edits that I have suggested and return it to me by the first day of final examinations, Monday, November 30. Once I have all of the clean final proposals, I will send them to the NGO clients.