“Never confuse education with intelligence”

-Mark Twain
Agenda

• Announcements
• Speaker Professor David Van Slyke, Dean of the Maxwell School
• Next Class
How to get the most out of this lecture

- Understand the seven tools
- Ask Dean Van Slyke to advise you on your policy tool
- You may use him as an expert in your paper
  - Can directly quote this lecture as personal communication
Attention!!

• Exercise 6.3 is based on this lecture, so use it as a guide

• Take notes by hand!!! (no laptops)
Exercise 6.3 Policy Tools

• Exercise 6.3: Developing Public Policy Alternatives

• Clearly state your proposed policy to reduce the problem you identified in Exercise 5.1.

• Your proposed policy must impact your local area but can originate at the local, state, or federal level. Using the guidelines provided on pages 79-80 of the textbook. Include the specific policy tool you will use.
Policy Implementation: The Basics for PAF 101

Dr. David M. Van Slyke
Dean | Louis A. Bantle Chair in Business and Government Policy
Maxwell School of Citizenship and Public Affairs
Syracuse University
What is Public Policy Implementation?

• The set of activities that follows a law, court decision, or executive order about a program that leads to desired outcomes by the government.

• Three important elements:

  1. At what level of government does implementation happen? Is it the federal, state, or local government that implements a policy, program, and set of actions? Which agency does it?

  2. Clear interpretation is critical. Political bargains and compromises lead to policies and programs where implementation requires interpretation. That often involves the exercise of discretion. Who do you trust to implement? Why do you trust them? If you don’t, then courts might get involved (generalists vs specialists)

  3. Resources are critical. This often involves other bureaus of the same agency, coordination with other public agencies, and involving non-governmental actors such as nonprofits and private firms.

• Outcomes are desired social conditions that will ameliorate the problem. Clear goals, vigilant measurement and incorporating performance information into decision making and evaluation is key to knowing what works and why and what doesn’t and why.
Who Implements Policies?

• Public policies are not self-executing. Those who formulate and adopt policies are rarely the same as those who implement subsequent programs.

• A range of players and stakeholders act to achieve the goals of the policy.
  • Government employees (bureaucrats) at the federal, state, & local levels
  • Private firms
  • Nonprofits
  • Faith-based providers
  • Philanthropic organizations/foundations/donors.

• Bureaucrats manage the other players and stakeholders who take the necessary actions.
# Who are Players and Stakeholders?

## Players and Stakeholders in the Implementation Process

<table>
<thead>
<tr>
<th>Level</th>
<th>Executive Officials and Organizations</th>
<th>Legislative Officials and Organizations</th>
<th>Bureaucratic Officials and Organizations</th>
<th>Nonprofits and Private Enterprise</th>
<th>Judicial Officials and Organizations</th>
</tr>
</thead>
<tbody>
<tr>
<td>Federal</td>
<td>President Executive Office of the President Staff</td>
<td>Congress (committees and individual members) Congressional staff and support agencies</td>
<td>Department and agency heads Staff-civil servants (Washington and regional)</td>
<td>Corporations Labor unions Interest groups Advisory bodies Nonprofit agencies Media</td>
<td>Federal judges Law clerks Marshals Masters, experts US Attorneys</td>
</tr>
<tr>
<td>State</td>
<td>Governor Governor’s staff</td>
<td>State legislature (Committee and individuals) Staff and support agencies</td>
<td>Department and agency heads Staff-civil servants (state capitol and regional)</td>
<td>(Same as above with state focus and impact)</td>
<td>State judges Law clerks Miscellaneous state judicial officials</td>
</tr>
<tr>
<td>Local</td>
<td>Mayor County commissioners Other local elected officials Staff</td>
<td>City councils, board of commissioners, other local elected officials, staff</td>
<td>Department and agency heads Staff-civil servants (central and field offices)</td>
<td>(Same as above with local focus and impact)</td>
<td>Local judges Law clerks Miscellaneous local judicial officials</td>
</tr>
</tbody>
</table>

Source: R.S. Daniels, PPA 503 – The Public Policy Making Process, CSU Bakersfield
What Does Policy Implementation Look Like?

• Actions
  • Acquiring resources
  • Interpreting statutes, laws, decisions,
  • Organize
  • Extend benefits or restrictions

• Policy Tools
  • Range of tools – policy instruments – that government can use to make programs or policy intentions actionable

• Most implementation is decentralized because many players and stakeholders are involved in putting a program into place at the federal, state, and local level.
Different Policy Tools that Governments can use:

1. **Direct Government Action:** The delivery of services, including information, by government employees.
   - Public Education System
   - Veteran Administration hospitals
   - On time arrivals for commercial flights

2. **Economic and Social Regulation:** Rules enforced by Government Agencies.
   - Economic Example: Tax rates on income
   - Social Example: Pharmaceutical firms must get FDA approval for drug

3. **Loan Guarantees and Direct Government Loans:** The government provides loan guarantees as a way to encourage funding for borrowers or activities that are considered important, politically or economically.
   - Student Loans
   - Housing Loan Guarantees

4. **Contracts:** A government agency contracts with a business or nonprofit or other government agency for goods for services.
   - Lockheed Martin or Boeing for airplanes
   - Construction Firms for Infrastructure
Policy Tools Continued

5. **Vouchers**: a subsidy which gives purchasing power to an individual and some freedom to choose how that subsidy will be spent.
   - Food Stamps
   - Housing Vouchers to help low income people purchase or rent a house

6. **Grants**: payments from a donor government to a recipient organization or individual with the aim of either “stimulating” or “supporting” some sort of service or activity.
   - National Science Foundation provides grants for research
   - A grant to the Vera House from local government

7. **Taxes**: A tax exemption is a sum subtracted from the total amount a taxpayer owes to the state, and a tax credit is where the government gives money to reduce taxes or provide income.
   - Tax Credit: Earned Income Tax Credit
   - Tax Exemptions: Homeowner Tax Exemption on Mortgages
How Policy Can Be Implemented

Which tool, under what conditions, to what extent, with what goals, for which populations, with what desired outcomes, and WHY?
Let Me Help YOU

- Ask what tool I would use for your problem or your policy
1. Direct Government Action
2. Economic and Social Regulation
3. Loan Guarantees and Direct Government Loans
4. Contracts
5. Vouchers
6. Grants
7. Taxes
For Next Class

• Trendline Homework due next class 3/4 or lose 5 points

• Keep working on Module 3 due 3/20

• Module 2 is handed back today. Regrade forms are DUE MONDAY.

• Speaker survey must be submitted before 12:45 Monday.