



**NYU**

**ROBERT F. WAGNER GRADUATE  
SCHOOL OF PUBLIC SERVICE**

**PADM-GP.2411**

**Policy Formation and Policy Analysis  
Fall 2022**

**Instructor Information**

Instructor: Peter Carlino

- Email: pc2416@nyu.edu [response within 24 hours, excluding weekends]
- Office Hours: M 6-7pm [online via “Zoom” tab in class webpage]  
M after class [in-person outside of classroom]

Lecture: Tuesday 6:45-8:25pm [60 5<sup>th</sup> Avenue, Room 150]

**Course Goals**

**Goal 1**

The first goal is to provide students an overview of the political actors and institutions involved in the U.S. policymaking process, specifically within the context of lawmaking in Congress. We will reference political science research and congressional resources to introduce the pivotal actors in the lawmaking process, the actors’ means to achieve individual and collective goals, the institutional rules to introduce and enact legislation, and the political determinants of lawmaking.

**Goal 2**

The second goal of this course is to train students how to research, write, and analyze legislation and statutes. We will reference political science research and congressional resources to identify constituents’ preferences, formulate a member’s legislative agenda, introduce and publicize legislation, and analyze legislation within the context of the U.S. Congress.

**Learning Assessment Table**

<b>Course Learning Objective</b>	<b>Assignment (See Below)</b>
Goal 1	Legislative Proposal Memorandum, Press Release, Interest Group Letter, Bill Analysis Memorandum
Goal 2	Legislative Proposal Memorandum, Press Release, Interest Group Letter, Bill Analysis

## Course Website

The course website is available on NYU Brightspace under the “Policy Formation Fall 2022” webpage. The readings are available on the course website. The assignments will be uploaded to the website two weeks in advance of its due date.

## Required Readings

- Various readings from academic, think tank, government, news and other sources will be employed throughout the semester. All of these materials are posted on the course website under the “Resources” tab and the “Readings” folder.
- The “Introduction to Public Policy” course at NYU Wagner (or its equivalent) is a formal prerequisite for this course. As a result, you are expected to be familiar with American federal government at the graduate level. If you are unfamiliar with American federal government, you can read the chapters regarding the executive, legislative, and judicial branches and federalism from **The Logic of American Politics** (current or earlier editions) by Sam Kernell, Gary Jacobson, Thad Kousser, and Lynn Vavreck before attending the first lecture or in the first two weeks of this course. This book is available at Bobst Library. Additionally, the chapters on the same topics in Krutz et al.’s **American Government (2<sup>nd</sup> edition)**, which is available for free online, is a valuable resource.

## Case Studies

This course will extensively apply the course concepts to the governing strategies of Senator Kirsten Gillibrand (D, NY), Representative Jerry Nadler (D, NY-10), Representative Matt Cartwright (D, PA-8), Senator Joni Ernst (R, IA), Representative Chris Jacobs (R, NY-27), and Representative Cathy McMorris Rodgers (R, WA-5).

Students are expected to follow each member’s **Twitter account, Facebook page, Instagram page, YouTube page, constituent newsletter, and news articles**. Use a NYU email account to create a Google email/RSS alert with the member’s title and name in the Google News search bar to aggregate news articles for each member. In order to complete the assignments for this course, students are expected to skim members’ social media and news articles on a weekly basis.

In addition, in order to complete the assignments for this course, students are expected to watch Sunday’s episodes of [“Face the Nation”](#) every week.

## Assignments

Students are required to submit the [1] Legislative Proposal Memorandum, [2] Press Release, [3] Interest Group Letter, and **either** [4A] Bill Analysis Memorandum (Committee Vote) **or** [4B] Bill Analysis Memorandum (Floor Vote). Students **should not** complete both assignments 4A and 4B. However, if a student submits both assignments, Professor Carlino will grade both and the student will receive the higher of the two grades. **No extra credit is available in this class.**

This section provides every assignment's prompt release date and due date. Each assignment will be posted on the course website under the "Assignments" tab two weeks in advance of its due date. All assignments are due at the beginning of lecture (Tuesday at 6:25pm EST). Assignments will be graded and returned to students within two weeks of a student's submission.

### [1] Legislative Proposal Memorandum [30%]

Students are expected to write a two-page memorandum to provide an overview of their assigned member's constituency and a legislative proposal for the member to introduce in the 2021-2023 legislative session. In addition, students must complete a worksheet of two short answer questions regarding the application of relevant course readings to this assignment. The assignment is posted during Week 3 and the assignment is due Week 5 at the beginning of lecture.

### [2] Press Release [10%]

Students are expected to submit a one-page press release to publicize the introduction of an actual bill introduced by their assigned member in the 2021-2023 legislative session. In addition, students must complete a worksheet of two short answer questions regarding the application of relevant course readings to this assignment. The assignment is posted during Week 5 and the assignment is due Week 7 at the beginning of lecture.

### [3] Interest Group Letter [30%]

Students are expected to submit a two-page letter to declare an existing interest group's position on an actual bill introduced by a member of Congress (MC) in the 2021-2023 legislative session. Students will be randomly assigned this MC and notified by Professor Carlino at the time the assignment prompt becomes available. Students will then write a three-page critique of this position letter that identifies possible rebuttals and political hurdles to the position and cites course readings in doing so. The letter is worth 15% of the course grade, and the critique is worth 15% of the course grade. The assignment is posted during Week 7 and the assignment is due Week 9 at the beginning of lecture.

### [4A] Bill Analysis Memorandum (Committee Vote) [30%]

Students are expected to submit a two-page memorandum to provide a recommendation for their assigned member to vote for, against, or abstain on a bill introduced by a random member of Congress in one of their assigned House or Senate committees. Additionally, students must submit a separate three-page analysis of how course readings apply to this exercise. These two

write-ups will be worth 15% of the course grade each. The assignment is posted during Week 11 and the assignment is due Week 13 at the beginning of lecture.

### [4B] Bill Analysis Memorandum (Floor Vote) [30%]

Students are expected to submit a two-page memorandum to provide a recommendation for their assigned member to vote for, against, or abstain on a bill introduced by a random member of Congress on the House or Senate floor. Additionally, students must submit a separate three-page analysis of how course readings apply to this exercise. These two write-ups will be worth 15% of the course grade each. The assignment is posted during Week 13 and the assignment is due Week 15 on Monday at 6:25pm EST.

## Late Assignments

Assignments must be submitted by the beginning of lecture on its due date through NYU Brightspace. If an assignment is submitted more than five minutes after the beginning of lecture, the assignment will be considered one day late. **Late assignments will receive deductions of ten percent from the assignment grade per calendar day.**

If a student would like to submit a late assignment without penalty (due to a university-approved reason for late submission), email Professor Carlino with the documentation to verify your absence. Do not notify or email the documentation before the submission of a late assignment. If Professor Carlino approves your documentation, he will waive the late penalty for the assignment.

## Academic Integrity

Academic integrity is a vital component of Wagner and NYU. All students enrolled in this class are required to read and abide by [Wagner's Academic Code](#). All Wagner students have already read and signed the [Wagner Academic Oath](#). Plagiarism of any form will not be tolerated and students in this class are expected to report violations to Professor Carlino. If any student in this class is unsure about what is expected of you and how to abide by the academic code, you should consult with Professor Carlino.

## Wagner Writing Center

Students are encouraged to email Professor Carlino for additional feedback on their assignments throughout the semester. If you would like additional feedback or training on policy writing, please visit the [Wagner Writing Center](#) or the [NYU Writing Center](#).

## Attendance

Attendance in lecture is mandatory. Students with two or more unexcused absences throughout the semester will be subject to a grade penalty of one third of a letter grade per absence.

## Lecture Absence

If you are not able to attend lecture and your absence is not a university-approved absence (e.g. illness without a doctor's note, work), you are responsible for completing the assigned reading, reviewing the lecture slides, accessing the lectures notes on your own. If you have specific questions about lecture, you can sign up for office hours with Professor Carlino. (See "Office Hours" section below.)

If you are not able to attend lecture and your absence is a university-approved absence (e.g., illness with a doctor's note, illness or death of a friend or family member, religious commitment), please email Professor Carlino only the documentation to verify your absence and whether you would like to review the lecture materials in a 30-minute meeting (instead of a 15-minute meeting) during office hours.

## COVID-19 Classroom Safety

Students and faculty are required to wear a mask in classes requiring in-person presence, including ours. You must also follow the [COVID-19 Screener](#) requirements for campus and classroom access. See the [information safety and health protocols](#).

If a student is not wearing a face mask over the nose and mouth: First time, I will gently remind you to wear a mask or fix the mask. Second time, I will ask you to leave the classroom to wear a mask, fix the mask, or return to the classroom the following week. If the student refuses to leave the classroom, I will cancel lecture and contact NYU Wagner Student Services.

## Henry and Lucy Moses Center for Students with Disabilities at NYU

Academic accommodations are available for students with disabilities. Please visit the [Moses Center for Students with Disabilities \(CSD\) website](#) and click on the Reasonable Accommodations and How to Register tab or call or email CSD at (212-998-4980 or [mosescsd@nyu.edu](mailto:mosescsd@nyu.edu)) for information. Students who are requesting academic accommodations are strongly advised to reach out to the Moses Center as early as possible in the semester for assistance.

## NYU's Calendar Policy on Religious Holidays

[NYU's Calendar Policy on Religious Holidays](#) states that members of any religious group may, without penalty, absent themselves from classes when required in compliance with their religious obligations.

As stated in the "Attendance" and "Late Assignments" sections in this syllabus:

- If you are not able to attend lecture, please email Professor Carlino only the documentation to verify your absence and whether you would like to review the lecture materials in a 30-minute meeting (instead of a 15-minute meeting) during office hours.
- If a student would like to (1) resubmit an assignment after the due date without penalty or (2) submit a late assignment without penalty, email Professor Carlino with the documentation to verify your absence. Do not notify or email the documentation before the submission of a late assignment. If Professor Carlino approves your documentation, he will completely waive the late penalty for the assignment.<sup>1</sup>

## Office Hours

You can attend office hours to ask general or individual questions about the course or career planning in public service. You can access online office hours through the “Zoom” tab and “Office Hours” link on the NYU Brightspace class website. Professor Carlino will only meet with students outside of office hours with a NYU class conflict.

## Course Schedule

Please complete the assigned readings **before** the assigned lecture.

### Week 1: Course Overview [9/6]

### Week 2: The Lawmaking Process [9/13]

- “The stages of the policy process and the Equal Rights Amendment.”—Soule and King (2006)
- “Introduction to the Legislative Process in the U.S. Congress” – Congressional Research Service (2017)
- “Theoretical Foundations” from **Revolving Gridlock: Politics and Policy From Jimmy Carter to George W. Bush** – Brady and Volden (2006)
- “Change We Can Believe In? Using Political Science to Predict Policy Change in the Obama Presidency” – Woon (2009)
- “Pivotal Politics and the Ideological Content of Landmark Laws” – Gray and Jenkins (2017)

### Week 3: How to Read, Write, and Research Legislation and Statutes [9/20]

- “Legislative Research for Congressional Staff: How to Find Documents and Other Resources” – Congressional Research Service (2015) [skim]
- “Introduction to Legislative Drafting” - U.S. House Office of the Legislative Counsel (2015)
- Example introduced legislation from our Congressional cadre

### Week 4: Legislators and Lawmaking (Part 1) [9/27]

- Excerpts from **Congress: The Electoral Connection** – Mayhew (1974) (TBD)
- “Careerism, Committee Assignments, and The Electoral Connection”—Katz and Sala (1996)
- “Which Buck Stops Here? Accountability for Policy Positions and Policy Outcomes in

Congress” – Jones (2011)

### **Week 5: Legislators and Lawmaking (Part 2) [10/4]**

- “The Strategic Timing of Position Taking in Congress: A Study of the North American Free Trade Agreement”—Box-Steffensmeier et al. (1997)
- “Candidate Positioning in U.S. House Elections” – Ansolabehere et al. (2001)
- Example press releases from our Congressional cadre

### **Week 6: NO CLASS [10/11] (Classes run on Monday schedule)**

### **Week 7: Interest Groups and Lawmaking [10/18]**

- “Lobbying as Legislative Subsidy”—Deardorff and Hall (2006)
- “Representing the Preferences of Donors, Partisans, and Voters in the U.S. Senate” – Barber (2016)
- “Buying Time: Moneyed Interests and the Mobilization of Bias in Congressional Committees” – Hall and Wayman (1990)
- “Contributions, Lobbying, and Committee Voting in the U.S. House of Representatives” – Wright (1990)
- Example interest group letters (TBD by Professor Carlino)

### **Week 8: The President and Lawmaking [10/25]**

- “How They Did It”—Cohn (<https://newrepublic.com/article/75077/how-they-did-it>)
- “The Power to Persuade” from **Presidential Power and the Modern Presidents: The Politics of Leadership from Roosevelt to Reagan** (Revised Edition) – Neustadt (1991)
- “How Washington Has Changed” from **Going Public: New Strategies of Presidential Leadership** (4<sup>th</sup> edition) – Kernell (2006)
- “The President’s Playbook: White House Strategies for Lobbying Congress” – Beckmann (2008)

### **Week 9: Discussion: Presidential and Bureaucratic Power**

### **Week 10: Introducing Legislation [11/8]**

- “Preliminary Legislative Action” from **Congressional Procedures and the Policy Process** (10<sup>th</sup> edition) – Oleszek et al. (2016)
- Read materials for class exercise: selected legislation, list of actions in House, introducer’s statement, introducer’s constituent newsletter/press release (all TBD, pending selection by Professor Carlino)

### **Week 11: Committee Hearing, Markup, and Report [11/15]**

- “The Committee System in the U.S. Congress” – Congressional Research Service (2009)

- Read materials for class exercise: opening statement at subcommittee hearing, press release, opening statement at committee hearing Q&A excerpt, press-release post-committee action, committee marked bill and report (all TBD, pending selection by Professor Carlino)

### **Week 12:** Floor Debate, Amendment, and Vote [11/22]

- “House Floor Procedure” and “Senate Floor Procedure” from **Congressional Procedures and the Policy Process** (10<sup>th</sup> edition) – Oleszek et al. (2016)
- “Roll-Call Votes” from **The Oxford Handbook of the American Congress** – Theriault et al. (2013)
- Read/view materials for floor phase of legislation (TBD by Professor Carlino)

### **Week 13:** Discussion: Committee Process and Policymaking

### **Week 14:** Legislative Oversight of the Bureaucracy [12/6]

- “Caught in the Middle: The President, Congress, and the Political-Bureaucratic System” from **The Executive Branch** – Weingast (2005)
- “Choosing Strategies to Control the Bureaucracy: Statutory Constraints, Oversight, and the Committee System” – Bawn (1997)
- “Tracking Regulatory Changes in the Biden era”—Brookings (<https://www.brookings.edu/interactives/tracking-regulatory-changes-in-the-biden-era/>)
- “Congressional Oversight Overlooked: Police Patrols versus Fire Alarms” – McCubbins and Schwartz (1984)

### **Week 15:** Political Determinants of Lawmaking [12/13]

- “The Dynamics of Legislative Gridlock, 1947-96” – Binder (1999)
- “The Logic of Confrontation” from **Insecure Majorities: Congress and the Perpetual Campaign** – Lee (2016)
- “Unified Government, Divided Government, and Party Responsiveness”—Coleman (1999)
- “Delegation and Congressional-Executive Relations” from **Delegating Powers: A Transaction Cost Politics Approach to Policy Making under Separate Powers** – Epstein and O’Halloran (1999)