

## **DEPARTMENT OF CITY AND REGIONAL PLANNING**

**University of North Carolina at Chapel Hill 27599-3140**

### **PLAN 301**

#### **Design of Policy-Oriented Research**

**Monday 2:00-4:30**

**Goldstein**

**Spring 2001**

#### Course Description

The purposes of this course are to develop understanding and skill in the design of empirical research used in the analysis of policy and planning problems, as well as to develop the ability to critically evaluate policy-related research products. The course will emphasize choosing the appropriate research design for given classes of policy and planning problems. The logic of the research process and its constituent elements will be emphasized rather than specific techniques of data collection or data analysis.

Class sessions will combine lecture, discussion, and seminar formats, depending upon the particular content. Students are expected to take active roles in class discussions by raising, and responding to, questions and issues, and by preparing research design outlines for selected design problems. For the term project each student will be required to write a detailed research design in the form of a proposal. This paper will be due on April 30. No incompletes other than for medical reasons will be given. Course grades will be based upon the final research design (60%), research design cases (30%) and class participation (10%).

#### Topics

- A. Introduction to Policy Research (2 sessions)
  - \*Overview of the course
  - \*Relationship of research and public policy formulation
  - \*Logic and language of scientific research
- B. Alternative Research Designs (4 sessions)
  - \*The case study and comparative research designs
  - \*Survey research designs
  - \*Experimental designs
  - \*Quasi-experimental designs
- C. Elements of the Research Design; Practice Research Design Cases (5 sessions)
  - \*Problem justification and history/literature review
  - \*The conceptual framework
  - \*Concept measurement
  - \*Data collection
  - \*Model specification and data analysis
- D. Student Presentations of Research Designs (3 sessions)

Principal Texts

R.A. Singleton and B.C. Straits, *Approaches to Social Research*, 3<sup>rd</sup> ed. (Oxford University Press).

Thomas D. Cook and Donald T. Campbell. *Quasi-Experimentation*. Boston: Houghton-Mifflin Co., 1979.

Robert Yin. *Case Study Research*, second edition. Sage Publications.

Allen D. Putt and J. Fred Springer. Policy Research. Prentice-Hall, 1989.

Gary King, Robert O. Keohane, and Sidney Verba, Designing Social Inquiry, Princeton University Press, 1994.

## Course Schedule and Readings

(\* = required)

1. Overview of the Course; Relationship of Research to Policy (1/22)
  - \*a. Allen D. Putt and J. Fred Springer, *Policy Research*, chapters 1 and 13, chapters 2-3 as interested.
  - \*b. Ann Majchrzak, *Methods for Policy Research*, chapter 1.
  - c. Howard E. Freeman and Clarence C. Sherwood, *Social Research and Social Policy*, pp. 17-54.
  - d. Charles E. Lindblom. "Who Needs What Social Research for Policymaking?" *Knowledge: Creation, Diffusion, Utilization*, Vol. 7, No. 4 (June 1986).
  - e. Martin Bulmer, *The Uses of Social Research*, chapters 2, 5, 6, 7, remainder as interested.
  - f. A. Etzioni, "Policy Research," *American Sociologist* 6 (June 1971), pp. 8-12.
  - g. Robert K. Merton, "The Role of Applied Social Science in the Formulation of Policy: A Research Memorandum," *Philosophy of Science* 16 (July 1949), pp. 161-181.
  - h. Lee Rainwater and William L. Yancey, "Black Families and the White House" in N. Denzin (ed.), *The Values of Social Science*.
  - i. Alvin Gouldner, "Explorations in Applied Social Science" in A.W. Gouldner and S.M. Miller (eds.), *Applied Sociology*.
  - j. Carol H. Weiss (ed.) *Using Social Research in Public Policy Making*, pp. 1-21.
  - k. Martin Rein and Sheldon H. Shite, "Can Policy Research Help Policy?" *The Public Interest* 49: 119-136.
  - l. Richard O. Mason and Ian I. Mitroff, "Policy Analysis as Argument" in *Policy Studies Journal* Vol. 9, No. 4, pp. 579-585.
  - m. Harvey Goldstein, "Planning as Argumentation" *Environment and Planning B*, Vol II (1984), pp. 297-312.
  - n. Richard Rose, "Disciplined Research and Undisciplined Problems" in Carol H. Weiss (ed.),

*Using Social Research in Public Policy-Making.*

- o. Glenn L. Johnson, *Research Methodology for Economists*, Chapter 2.
- p. Peter H. Rossi and Howard E. Freeman, *Evaluation* (3rd ed.), Chapters 1, 9.
- q. Duncan MacRae, Jr. *The Social Function of Social Science*, pp. 277-307.

2. Logic and Validity of Empirical Research (1/29)

- \*a. Gary King et. al., *Designing Social Inquiry*, Chapter 1-3, pp. 3-114.
- \*b. R.A. Singleton and B.C. Straits, *Approaches to Social Research*. Chapters 2 and 3, browse chapter 4.
- c. Thomas D. Cook and Donald T. Campbell, Quasi-Experimentation, Chapters 1-2, pp. 1-94.
- d. Julian L. Simon, *Basic Research Methods in Social Science*, pp. 15-49, and pp. 75-173 as interested.
- e. Derek L. Phillips, *Knowledge From What?*, chapter 2, "Invalidity and Bias in Social Research."
- f. Abraham Kaplan, *The Conduct of Inquiry*, chapters 5-7, 38-40, remainder as interested.
- g. Walter Wallace, *The Logic of Science in Sociology*, chapter 1.
- h. R. Mayer and E. Greenwood, *The Design of Social Policy Research*, chapter 2.
- i. Peter Rossi and Howard E. Freeman, *Evaluation* (4th ed.), Chapter 5.

3. Case Study, Comparative Method and Qualitative Research Designs (2/5)

- \*a. Robert K. Yin, *Case Study Research*, second edition. Chapters 1, 2, browse remainder.
- \*b. Gary King et. al., *Designing Social Inquiry*. Chapter 4 and pp. 199-206.
- \*c. Singleton, *Approaches to Social Research*. Chapter 11.

- \*d. Charles Ragin, *The Comparative Method*, 1989. Chapters 1-3.
- 5. Joe R. Feagin, *A Case for the Case Study*, pp. 1-79.
- f. Arend Lijphart, "Comparative Politics and Comparative Method," *American Political Science Review* 65 (1971): 682-693.
- g. George J. McCall and J.L. Simmons, *Issues in Participant Observation*, pp. 1-27, 245-257.
- h. Donald T. Campbell, "'Degrees of Freedom' and the Case Study," *Comparative Political Studies*, Vol. 8 No. 2, July 1975.
- i. Robert T. Holt and John E. Turner, "The Methodology of Comparative Research" in Holt and Turner (eds.), *The Methodology of Comparative Research*, The Free Press, 1970.
- j. J.W.N. Watkins, "Ideal Types and Historical Explanation" in H. Feigl and M. Brodbeck (eds), *Readings in the Philosophy of Science*, Appleton-Century-Crofts, Inc., New York, 1953.
- k. Kenneth Burke, *A Grammar of Motives*, Introduction, pp. x-xvi.
- l. National Advisory Commission on Civil Disorders, *Report of the National Advisory Commission on Civil Disorders*.
- m. M. Meyerson and E. Banfield, *Politics, Planning and the Public Interest*, The Free Press, 1955.
- n. Alan A. Altshuler, *The City Planning Process - A Political Analysis*. Cornell University Press, 1965.
- o. Francine Rabinowitz, *City Politics and Planning*, Atherton Pres, 1969.
- p. Philip Selznick, *TVA and the Grass Roots*, University of California Press, 1949.
- q. Robert Dahl, *Who Governs?*, Yale University Press, 1961.

- r. Bernard J. Frieden and Marshall Kaplan, *The Politics of Neglect: Urban Aid from Model Cities to Revenue Sharing*, MIT Press, 1977.
- s. Herbert J. Gans, "The West End: An Urban Village" and "Methods Used in This Study" in M. Patricia Golden (ed.), *The Research Experience*.
- t. Floyd Hunter, "Methods of Study: Community Power Structure" in M. Aiken and P. Mott (eds.), *The Structures of Community Power*, pp. 228-233.

4. Survey Research Designs (2/12)

- \*a. Singleton, *Approaches to Social Research*. Chapter 9.
- \*b. Earl R. Babbie, *Survey Research Methods*, 3rd edition (1990), pp. 51-64, and chapters 6 - 7 as interested.
- c. Herbert Hyman, *Survey Design and Analysis*, chapter 2. (pp. 60-89).
- d. Derek Phillips, *Knowledge From What?*, chapters 4-5.
- e. William L. Miller, *The Survey Method in the Social and Political Sciences*, pp. 62-84.
- f. Herbert M. Blalock, *Causal Inferences in Nonexperimental Research*, pp. 1-60, elsewhere as interested.
- g. Leo Goodman, "Causal Analysis of Data from Panel Studies and Other Kinds of Surveys", *American Journal of Sociology* Vol. 78, No. 5.
- h. W.S. Robinson, "Ecological Correlation and the Behavior of Individuals," *American Sociological Review* (June 1950), pp. 351-357.
- i. L.I. Langbein and A.J. Lichtman, *Ecological Inference*, Sage Publications, 1978.

## 5. Experimental Designs (2/19)

- \*a. Singleton, *Approaches to Social Research*, chapter 7.
- \*b. Thomas D. Cook and Donald T. Campbell, *Quasi-Experimentation*, chapter 8, pp. 341-386.
- \*c. Peter Rossi and Howard Freeman, *Evaluation* (4th ed.), Chapter 6.
- d. Robert Farber and Werner Z. Hirsch, *Social Experimentation and Economic Policy*, pp. 1-47, remainder as interested.
- e. Henry W. Riecken and Robert F. Foruch (eds.), *Social Experimentation* Academic Press, New York, pp. 1-72, remainder as interested.
- f. Robert S. Weiss and Martin Rein, "The Evaluation of Broad Aim Programs: Difficulties in Experimental Design and an Alternative," in Carol H. Weiss, *Evaluating Action Programs*.
- g. Alice Rivlin, "How Can Experiments Be More Useful", *American Economic Review* 64 (1974), pp. 346-354.
- h. John P. Gilbert and Frederick Mosteller, "The Urgent Need for Experimentation" in F. Mosteller and D.P. Moynihan, *On Equality of Educational Opportunity*.
- i. Peter H. Rossi and Katherine C. Lyall, *Reforming Public Welfare: A Critique of the Negative Income Tax Experiment*, chapter 2.
- j. Joseph Friedman and Daniel Weinberg (eds) *The Great Housing Experiment* (Sage Publications).
- k. Seymour J. Mandelbaum, "On Not Doing One's Best: The Uses and Problems of Experimentation in Planning," *JAIP* May 1975, pp. 184-190.

## 6. Quasi-experimental Designs (2/26)

- \*a. Thomas D. Cook and Donald T. Campbell, *Quasi-*

*Experimentation* chapters 3 (pp. 95-146) and 5 (pp. 207-232); scan chapters 4, 6, 7.

- \*b. Peter Rossi and H.E. Freeman, *Evaluation*, chapter 7.
  - c. Thomas D. Cook, "Quasi-Experimentation, Its Ontology, Epistemology, and Methodology" in G. Morgan, *Beyond Method*, pp. 74-94.
  - d. Louise Kidder, *Research Methods in Social Relations*, 4th edition, chapter 3.
  - e. Donald T. Campbell and H. Laurence Ross, "The Connecticut Crackdown on Speeding: Time-Series Data in Quasi-experimental Analysis" in E.R. Tufte, *The Quantitative Analysis of Social Problems*, pp. 110-126.
  - f. Donald T. Campbell, "Reforms as Experiments" in Carol H. Weiss (eds.) Evaluating Action Programs. Also in J. Caporaso and Roos, *Quasi-Experimental Approaches: Testing Theory and Evaluating Policy*.
  - g. Leslie L. Roos, Jr. and Hal J. Bohner, "Compliance, Pollution, and Evaluation--A Research Design" in Caporaso and Roos, pp. 271-304.
  - h. Kathryn E. Newcomer and Richard J. Hardy, "Quasi-Experimental Designs in Policy-Impact Analysis" in J. Grumm and S. Wasby (eds.), *The Analysis of Policy Impact*.
  - i. H. Paul Friesema et al., *Aftermath--Communities After Natural Disasters*, Sage Publications, 1979, especially chapter 3.
  - j. Richard D. Shingles, "Organizational Membership and Attitude Change" in Caporaso and Roos, pp. 226-270.
7. Research Problem Justification and History; Practice Case Study (3/5)
- \*a. Robert Mayer and Ernest Greenwood, *The Design of Social Policy Research*, chapters 5-6.
  - \*b. Ann Majchrzak, *Methods for Policy Research*, chapter 2.

- \*c. Lillian Ripple, "Problem Identification and Formulation" in Norman Polansky, ed., *Social Work Research*.
- \*d. Harris M. Cooper, *The Integrative Research Review*, chapters 1, 2.
  - e. Otis L. Graham, Jr. "The Uses and Misuses of History: Roles in Policymaking," *The Public Historian*, Vol. 5, No. 2 (Spring 1983), pp. 5-19.
  - f. Julian L. Simon, *Basic Research Methods in Social Science*, pp. 220-227 and 465-472.
  - g. Stephen Gale, "A Prolegomenon to an Interrogative Theory of Scientific Inquiry" in H. Hiz, *Questions*, pp. 319-345.
  - h. Duncan MacRae, Jr. *The Social Function of Social Science*, chapter 9.
  - i. Russell Ackoff, *Scientific Method: Optimizing Applied Research Decisions*, pp. 1-4, 7-9, 30-32, 64-74.
  - j. Paul C. Stern, *Evaluating Social Science Research*, pp. 219-231.
  - k. Robert K. Merton, "The Role of Applied Social Science in the Formation of Policy: A Research Memorandum", *Philosophy of Science*, 16 (1949): 161-181.
  - l. Alvin Gouldner, "Explorations in Applied Social Science" in A. Gouldner and S.M. Miller, *Applied Sociology*.
  - m. Gareth Morgan, *Beyond Method*, chapter 1, "Research as Engagement."
- 8. The Conceptual Framework and Statement of Research Objective; Practice Problem 1 (3/19)
  - \*a. Robert Mayer and Ernest Greenwood, *The Design of Social Policy Research*, chapter 7-8 (pp. 121-168).
  - \*b. Ann Majchrzak, *Methods for Policy Research*, chapter 3.
    - c. Julian Simon, *Basic Research Methods in Social Science*, chapter 14 (pp. 193-219).

- d. I.D.J. Bross, *Design for Decision*, chapter 10, "Models".
  - e. Hubert M. Blalock, *Theory Construction*, chapters 2-3.
9. Issues in Concept Measurement; Practice Problem 2 (3/26)
- \*a. Putt and Springer, *Policy Research*, chapter 5.
  - \*b. Singleton, *Approaches to Social Research*, chapter 5.
  - \*c. King, Keohane, and Verba, *Designing Social Inquiry*, pp. 151-160.
  - \*d. Edward Carmines and Richard Zeller, *Reliability and Validity Assessment*, chapters 1-4.
  - e. Russell Ackoff, *Scientific Method: Optimizing Applied Research Decisions*, chapter 6 (pp. 177-217).
  - f. Julian Simon, *Basic Research Methods in Social Science*, chapter 20 (pages 292-308).
  - g. Hubert M. Blalock, Jr. "The Measurement Problem: A Gap Between the Language of Theory and Research" in H.M. Blalock, Jr., Methodology in Social Research.
  - h. Leroy Wolins, Research Mistakes in the Social and Behavioral Sciences, chapter 4.
  - i. Lee J. Cronbach and Lita Burby, "How Should We Measure ' Change' - Or Should We", Psychological Bulletin Vol. 74, No. 1 (1970), pp. 68-80.
  - j. James S. Coleman, "The Mathematical Study of Change" in H.M. Blalock, Jr. Methodology in Social Research.
  - k. Aaron V. Cicourel, "Measurement and Mathematics" in Denzin, ed., Sociological Methods, pp. 108-114.
10. Data Collection Techniques; Practice Problem 3 (4/2)
- \*a. Putt and Springer, *Policy Research*, chapter 6-9.

- \*b. Robert Yin, *Case Study Research*, second edition, chapter 4.
- c. Julian L. Simon, *Basic Research Methods in Social Science* chapters 17 and 21.
- d. Earl R. Babbie, *Survey Research Methods*, Part II.
- e. Eugene J. Webb et al, *Unobtrusive Measures: Non-reactive Research in the Social Sciences*.
- f. Howard Schuman and Stanley Presser, "The Open and Closed Question," *American Sociological Review* Vol. 44 (1979): 692-712.
- g. Thomas D. Cook and D.T. Campbell, *Quasi-Experimentation*, chapter 8.
- h. Don A. Dillman, *Mail and Internet Surveys, The Tailored Design Method*. John Wiley, 2000.

11. Model Specification and Data Analysis Techniques (4/9)

- \*a. Springer, *Approaches to Social Research*, chapters 15-16.
- \*b. Hanan Selvin, "A Critique of Tests of Significance in Survey Research", *American Sociological Review* 22 (1957), 519-527.
- \*c. Edward Leamer, "Let's Take the Con Out of Econometrics," *American Economic Review* March 1983.
- \*d. King, Keohane, and Verba, *Designing Social Inquiry*, pp. 168-196.
- e. Robert Yin, *Case Study Research*, second edition, chapter 5.
- 6. Thomas D. Cook and D.T. Campbell, *Quasi-Experimentation*, chapter 4, browse 6-7.
- g. L.A. Wilson, "Statistical Techniques for the Analysis of Public Policies as Time Series Quasi-experiments" in Scioli and Cook, *Methodologies for Analyzing Public*

*Policies* (Lexington Books, 1975).

- h.. John Tukey, *Exploratory Data Analysis* (Addison and Wesley, 1977).
  - l. David Hoaglin et al. (eds.). *Exploring Data Tables, Trends and Shapes*. John Wiley, 1985.
  - j. Frank M. Andrews et al. *A Guide for Selecting Statistical Techniques for Analyzing Social Science Data* (Institute for Social Research, University of Michigan, 1981).
  - k. Leroy Wolins, *Research Mistakes in the Social and Behavioral Sciences*, chapters 2, 5.
  - l. J. Scott Long. *Common Problems/Proper Solutions*. Sage Publications, 1988.
  - m. Hubert M. Blalock, Jr. *Basic Dilemmas in the Social Sciences*, chapter 2, others as interested. (Sage Publications, 1984).
- 12-14. Student Presentations of Research Designs (4/16, 4/23, 4/30)