

School of Government

PUBL 306
THE THEORY AND METHODS OF POLICY ANALYSIS

Trimester 1, 2013

COURSE OUTLINE

Names and Contact Details

Course Coordinator	Dr. Valentina Dinica Room RH 802, Level 8, Rutherford House, Pipitea Campus Telephone: (04) 463 5711 Email: Valentina.Dinica@vuw.ac.nz
Course Lecturer	Dr. Jaikishan Desai Room 311, Government Building, 55 Lambton Quay, Pipitea Campus, Telephone: (04) 463 6592 Email: Jaiki.Desai@vuw.ac.nz
Course Administrator:	Mrs. Kerry Pert, Room RH 821, Level 8, Rutherford House, Pipitea Campus Telephone: (04) 463 6599 Email: Kerry.Pert@vuw.ac.nz
Office Hours:	8.30am to 5.00pm, Monday to Friday

Trimester Dates

Monday 4 March – Friday 7 June

Withdrawal from Course

1. Your fees will be refunded if you withdraw from this course on or before **Friday 15 March 2013**.
2. The standard last date for withdrawal from this course is **Friday 17 May**. After this date, students forced to withdraw by circumstances beyond their control must apply for permission on an 'Application for Associate Dean's Permission to Withdraw Late' including supporting documentation. The application form is available from either of the Faculty's Student Customer Service Desks.

Class Times and Room Numbers

Lectures: weekly, 2 hour sessions on Wednesdays, 3.40-5.30 pm. Room numbers are as follows:

- on March 6, 13, 27, April 10 and May 1, lectures will take place in RWW 501, Railway Station Wing, Pipitea Campus;
- on March 20, April 17, May 8, 15, 22 and 29, lectures will be delivered in GB LT3, the Old Government Buildings, Pipitea Campus.

The first lecture is on March 6, 2013.

Tutorials: weekly on Tuesdays and Thursdays, 5.40-6.30 pm in the Railway Building RWW125, Pipitea Campus. Every week, the Thursday tutorial will address issues discussed in that week's Lecture. The Tuesday tutorial will be a repeat of the previous week's Thursday tutorial. The first tutorial starts on Tuesday March 12, 2013 (meaning that Lecture 1 will only have one tutorial).

Course Description

This course introduces students to the world of policy analysis and advising – a world in which people who are strictly neither ordinary citizens nor elected representatives are officially authorised to inform and advise elected policymakers about the decisions facing government. Key features of this world include: the relationship between policy analysis and policy advice; the roles, identities, and attributes of analysts and advisors; the relationships between policy advisers and various types of policy stakeholders; the multiple pathways through which policy information and advice flow. Fundamental questions facing the student of policy analysis are the questions related to values, knowledge, evidence and uncertainties. What are the defining features of good policy analysis and advice? How is good policy analysis and advice best produced?

This course addresses these fundamental questions within the larger context of New Zealand's policymaking system via three broad types of activities: familiarising students with the chief philosophical approaches, tools and methods of policy analysis; helping students apply these tools and methods to contemporary policy issues; and defining and encouraging those dispositions and habits of mind which are found in the best policy analysts.

Course Learning Objectives

By the end of this course, students will be able to:

1. Compare and critique various philosophical approaches to policy analysis, and illustrate how they influence various frameworks and methods of policy analysis (MA5 – see below).
2. Articulate and interpret the relationships between policy science, research methods, and policy advisory work (MA3; MA10).
3. Apply core frameworks and methods of policy analysis to generate policy advice for decision makers for contemporary policy issues (MA1; MA7; MA9).
4. Analyse the available evidence for policy problems and values underpinning problem structuring, and design strategies to cope with knowledge-laden and value-laden uncertainties (MA6; MA10; MA11)
5. Critically assess the suitability of using various methods of policy analysis for various kinds of policy problems, goals and challenges (MA1; MA7).
6. Identify relevant criteria for assessing policy options (MA8).

7. Design strategies for balancing competing pressures on policy advice from clients and interest groups (MA9; MA10; MA11).

Major Attributes: PUBL majors will be able to:	
Judge the defining features of good policy analysis and advice and appraise how they are best produced	(MA 1)
Understand the influence of political ideas and philosophies, and of constitutional and political institutions on public policy	(MA 2)
Understand the contribution of quantitative and qualitative methods in policy analysis	(MA 3)
Identify the nature and respective roles of state and civil society in the development, implementation and evaluation of public policy, and understand the distinction between government and governance	(MA 4)
Appraise different disciplinary contributions to the development, implementation and evaluation of public policy	(MA 5)
Judge the relevance and importance of evidence in policymaking	(MA 6)
Apply various methods of policy analysis, and identify insights that might be drawn from other policy jurisdictions	(MA 7)
Judge and articulate the relevant criteria that might be used in assessing the advantages and disadvantages of particular policy options	(MA 8)
Analyse complex policy issues from multiple perspectives and identify opportunities for innovation	(MA 9)
Express ideas succinctly and persuasively both in written form and orally	(MA 10)
Construct and articulate rationales for public policy intervention	(MA 11)
Understand the significance of ethics and accountability in the study and practice of public policy	(MA 12)
Interpret the significance of the Treaty of Waitangi (Te Tiriti o Waitangi) in the study and practice of public policy in New Zealand	(MA 13)

Course Content and Readings

This section presents the topics that will be addressed in each lecture and the relevant book chapters and journal articles, which must be read in preparation of each lecture.

Part 1: Policy analysis processes

Lecture 1: Wed 6 March, Dr. Valentina Dinica, 3.40 – 5.30 pm, Room RWW 501

Mapping of the field of policy analysis. Philosophical perspectives on policy analysis: (neo)positivism and post-positivism.

Readings:

- Parsons, W. (1995). *Public Policy*, pp. 13-22
- Smith, K.B. and C.W. Larimer (2009). “What should we do? The field of policy analysis”, Chapter 5 in *The Public Policy Theory Primer*, pp. 101 – 128.
- Mayer, I., C. E. van Daalen and P. Bots (2004) “Perspectives on Policy analyses: A Framework for Understanding and Design,” *Journal of Technology, Policy and Management*, 4(2): pp. 169 – 191.

- Fisher, F. (1998). “Beyond Empiricism: Policy Inquiry in Post-positivist Perspective”, in *Policy Studies Journal*, 26(1): 129-146.

Lecture 2: Wed 13 March, Dr. Valentina Dinica, 3.40 – 5.30 pm, Room RWW 501

Activities in policy analysis processes. Simple/Tame policy problems: the Problem Tree method of problem definition.

Readings:

- Bardach, E. (1995) *Policy Analysis: A Handbook for Practice*, Electronic Hallway.
- Brown, T. “Basic Policy Analysis”. Pp. 1 -18. Seminar paper available at <http://www.iupdp.org/index.php/seminars/195-121997>

Lecture 3: Wed 20 March, Dr. Valentina Dinica, 3.40 – 5.30 pm, Room GB LT3

Wicked problems: problem structuring in the context of value conflicts and knowledge uncertainties.

Readings:

- Hisschemöller, M. and R. Hoppe (1996). “Coping with Intractable Controversies: The Case for Problem Structuring in Policy Design and Analysis”, *Knowledge and Policy* 8: 40 – 60.
- Chapman, J., C. Edwards and S. (2009). *Connecting the Dots*. Chapters: “Connecting the Dots: Wicked Issues” (pp. 15-22) and Case study on “Gang Crime in London” (pp. 61-72), Demos, London.
- Ozawa, C.P. (2006). “Science and Intractable Conflict”, in *Conflict Resolution Quarterly*, 24(2): 197-205.

Lecture 4: Wed 27 March, Dr. Valentina Dinica, 3.40 – 5.30 pm, Room RWW 501

The Solution Tree: policy options and policy instruments.

Readings:

- Verdung, E. (1998). “Policy instruments: typologies and instruments”, in *Carrots Sticks and Sermons – policy instruments and their evaluation*, Eds. M.L. Belemans-Videc, C.L. Rist and E. Verdung. Transaction Publishers. Pp 21-55.

Lecture 5: Wed 10 April, Dr. Valentina Dinica, 3.40 – 5.30 pm, Room RWW 501

Policy evaluation criteria and the outcomes matrix

Readings:

- Scott, C. and K. Baehler. (2010). “Knowing where we want to go”, in *Adding Value to Policy Analysis and Advice*. Pp. 122-138.
- Stone D. (2001). Chapter: “Efficiency”. In *Policy Paradox: The Art of Political Decision Making*, Pp. 61-85.

- RFP Evaluation Centers. “What is a Decision Matrix?” Pp. 1-6. Available at <http://rfptemplates.technologyevaluation.com/What-is-a-Decision-Matrix.html>

Supplementary readings:

- Scott, C. and K. Baehler. (2010). Section on Outcomes Matrix, pp. 142-155, in *Adding Value to Policy Analysis and Advice*. This Section is not available in Blackboard. Please see the book at the VBS Library in the Railway Station Wing.

Lecture 6: Wed 17 April, Dr. Valentina Dinica, 3.40 – 5.30 pm, Room GB LT3

Implementation processes and expected obstacles as ex-ante evaluation criterion

Readings:

- Hill, M. and P. Hupe (2004). *Implementing Public Policy*. Sage Publications. Chapter: “The State of the Art”, pp. 116-137
- Bressers, H. and P.J. Klok. (1988). “Fundamentals for a Theory of Policy Instruments”, in *International Journal of Social Economics*, 15(3/4): 22 – 41

Lecture 7: Wed 1 May, Dr. Valentina Dinica, 3.40 – 5.30 pm, Room RWW 501

Underpinning the implementation potential of policy instruments/options

Readings:

- Dinica, V., Bressers, H., & de Bruijn, T. (2007). “The implementation of a multi-annual agreement for energy efficiency in the Netherlands”, in *Energy Policy*, 35(2), 461-480: 1196-1212. Elsevier.
- Dinica, V. (2005, 14-19 April). *Investigating the implementation of EU instruments: a framework for the comparison of national structures and processes*. Paper presented at the European Consortium for Political Research - Joint Sessions in Workshop 4. Making EU policy work: national strategies for implementing, postponing and evading EU legislation., Granada, Spain.

**Part 2: Quantitative methods for policy analysis –
Introduction to Cost-Benefit Analysis**

Lecture 8: Wed 8 May, Dr. Jaikishan Desai, 3.40 – 5.30 pm, Room GB LT3

Conceptual foundations of cost-benefit analysis

Readings:

- Lecture notes based on Chapters 1 & 2 of Boardman, A.E., D.H. Greenberg, A.R. Vining, and D.L. Weimer. (2011). *Cost-Benefit Analysis: Concepts and Practice*, fourth edition, Pearson (Prentice Hall).
- New Zealand Treasury. (2005). Cost Benefit Analysis Primer. Available at: <http://www.treasury.govt.nz/publications/guidance/planning/costbenefitanalysis/primer>

Lecture 9: Wed 15 May, Dr. Jaikishan Desai, 3.40 – 5.30 pm, Room GB LT3

Valuing Benefits and Costs

Readings:

- Lecture notes based on Chapters 4 & 5 of Boardman, A.E., D.H. Greenberg, A.R. Vining, and D.L. Weimer. (2011). *Cost-Benefit Analysis: Concepts and Practice*, fourth edition, Pearson (Prentice Hall).
- New Zealand Treasury. (2005). Cost Benefit Analysis Primer. Available at: <http://www.treasury.govt.nz/publications/guidance/planning/costbenefitanalysis/primer>

Lecture 10: Wed 22 May, Dr. Jaikishan Desai, 3.40 – 5.30 pm, Room GB LT3

Discounting Benefits and Costs in Future Time Periods & Net Present Value. Dealing with uncertainty.

Readings:

- Lecture notes based on Chapters 6, 7 & 10 of Boardman, A.E., D.H. Greenberg, A.R. Vining, and D.L. Weimer. (2011). *Cost-Benefit Analysis: Concepts and Practice*, fourth edition, Pearson (Prentice Hall).
- New Zealand Treasury. (2005). Cost Benefit Analysis Primer. <http://www.treasury.govt.nz/publications/guidance/planning/costbenefitanalysis/primer>

Lecture 11: Wed 29 May, Dr. Jaikishan Desai, 3.40 – 5.30 pm, Room GB LT3

Case studies of Cost Benefit Analysis in New Zealand

Readings:

- Grimes, et al. (2012). Cost Benefit Analysis of the Warm Up New Zealand: Heat Smart Programme. Source: http://www.motu.org.nz/publications/detail/cost_benefit_analysis_of_the_warm_up_new_zealand_heat_smart_programme
- Covec. (2007). Recycling: Cost Benefit Analysis. Source: <http://www.mfe.govt.nz/publications/waste/recycling-cost-benefit-analysis-apr07/recycling-cost-benefit-analysis-apr07.pdf>
- Moore, et al. (2010). Cost benefit analysis of raising the quality of New Zealand networked drinking water. Source: <http://www.health.govt.nz/publication/drinking-water-cost-benefit-analysis>

Course Delivery

This course will be delivered by means of lectures and tutorials. Two tutorials are offered every week. The Thursday tutorial will address issues discussed in that week's Lecture. The Tuesday tutorial will be a repeat of the previous week's Thursday tutorial. The first tutorial starts on Tuesday March 12, 2013 (meaning that Lecture 1 will only have one tutorial). Students may choose to attend the tutorial that suits them best, every week. Students are expected to contribute to tutorial discussions individually. Tutorials have two main purposes: a) to reinforce what has been taught during the lectures of the respective week, by discussing various concepts and ideas explained during the relevant lectures and the readings; b) to illustrate theoretical ideas and

methods of policy analysis by means of practical examples or policy case studies. A minimum attendance requirement applies for both lectures and tutorials (please see below).

Expected Workload

The learning objectives set for each course are demanding and, to achieve them, candidates must make a significant commitment in time and effort to reading, studying, thinking, and completion of assessment items outside of contact time. Courses vary in design but all require preparation and learning. Regular learning is necessary between lectures (students who leave everything to the last moment rarely achieve at a high level). The time commitment required usually for this course translates to 200 hours, including lectures and tutorials. (One point equates to 10 hours of work, which means a total of 200 hours for a 20-point course, such as PUBL 306).

Assessment Requirements

The table below mentions the assignment types, weights, deadlines, recommended length, the lectures and tutorials that are of most relevance for the respective assignment, and which course objectives will be tested in each assignment (the course objectives are mentioned on pages 2-3 of this outline).

Assessments	Weight	Due Dates 2013	Word length	Lectures of relevance	Course Objectives tested
1) Policy Report (mandatory)	60%	Monday 6 May, 9.00 am	5200 words	Lectures: 6, 13, 20, 27 March 10, 17 April, 1 May	Objectives 1, 3, 4, 6, 7
2) Short quiz 1 (non-mandatory)	5%	In class, Lecture 22 May	NA	Lectures: 8, 15 May	Objectives 2, 5
3) Short quiz 2 (non-mandatory)	5%	In class, Lecture 29 May	NA	Lectures: 8, 15, 22 May	Objectives 2, 5
4) Take home test (mandatory)	30%	5 June, 5 pm	NA	Lectures: 8, 15, 22, 29 May	Objectives 2, 5

General Notes for Assignments

Please send your assignments in Word format and indicate your document's word length on the cover sheet, and full name. Note that all assignments are to be submitted BY EMAIL ATTACHMENT to sog-assignments@vuw.ac.nz. Extensions may only be granted to those who meet the University's aegrotat rules, viz. medical certificate or personal bereavement, or critical personal circumstances involving the health of a close relative, or exceptional circumstances beyond the student's control. Students should keep a copy of all submitted work. **There is no final examination for this course.**

Note 1: *Students are required to complete a statement to accompany each mandatory assignment and test submitted for assessment, attesting to the fact that the work is entirely their own. For each assignment mentioned in the above Table, students must fill-in, sign (or type your name in the allocated space) and submit the form that can be found on the last page of this Course Outline. The Form will also be posted on Blackboard. The deadline for submitting the form is the same as the deadline for submitting the Assignment for which the form was*

signed. Please deliver your statements by email to sog-assignments@vuw.ac.nz or to the SoG Assignments Box on level 8 of Rutherford House Pipitea Campus.

Note 2: Your assessed work may also be used for quality assurance purposes, such as to assess the level of achievement of learning objectives as required for accreditation and audit purposes. The findings may be used to inform changes aimed at improving the quality of Victoria Business School programmes. All material used for such processes will be treated as confidential, and the outcome will not affect your grade for the course.

Mandatory Course Requirements

- 1) You must **submit Assessments 1 and 4 mentioned in the above table**. Failure to submit any of these assessments within five days from the deadline (please see the Penalties section, below), will lead to an automatic failure of this course, unless acceptable evidence is provided for the delay in submission. Please note that even when a grade higher than 50% is obtained for Assessments 1, 2, and 3, failure to hand in the Take Home Test will lead to a failure of the course.
- 2) Minimum mandatory class attendance:
 - Students are required **to attend at least half of the lectures relevant for Assessments 1 and 4** (please see above the table);
 - further, students are required to **attend at least half of the tutorials relevant for Assessments 1 and 4**.

Please contact the relevant Course Lecturer as soon as you become aware you are now able to meet the class attendance requirements to discuss your situation and provide evidence of personal circumstances.

Penalties

The ability to plan for and meet deadlines is a core competency of both study and public management. Failure to meet deadlines disrupts course planning and is unfair on students who do submit their work on time. It is expected therefore that you will complete and hand in assignments by the due date. **Marks will be deducted at the rate of 5% (of the assignment grade) for every day** by which the assignment is late. **No assignments will be accepted after five working days** beyond the date they are due. For example, if you get 65% for an assignment, but you handed it in on Wednesday after 1.00 pm, when it was due on Monday 9.00 am, you will get a mark of 50%. In this example the assignment will not be accepted if handed-in after Friday 5.00 pm.

A penalty applies also on the word count. A written assignment that exceeds the word limit by more than 200 words will be penalised by 5%, with further **5% deductions for any additional 300 words excess**. For example if the word limit is 5200 words, but the handed-in assignment has 6100 words, the total word penalty will be 15% (given that 5400 words are 'penalty free')

If ill-health, family bereavement or other personal circumstances beyond your control prevent you from meeting the deadline for submitting a piece of written work or from attending class to make a presentation, you can apply for and may be granted an extension to the due date. You should let your Course Coordinator know as soon as possible in advance of the deadline (if circumstances permit) if you are seeking an extension. Where an extension is sought, evidence, by way of a medical certificate or similar, may be required by the Course Coordinator.

Class Representative

A class representative will be elected in the first class, and that person's name and contact details will be available to VUWSA, the Course Coordinator, and the class. The class representative provides a communication channel to liaise with the Course Coordinator on behalf of the students.

Communication of Additional Information

Any additional information will be conveyed to students in class. Blackboard will also be used for announcements and for course-related materials such as assignment texts. Some information communicated via Blackboard (such as some announcements) will be sent to your @myvuw.ac.nz email address (the free email address created for you when you enrol and accessed via the myVictoria student web portal). However you need to check the Blackboard regularly as well.

Academic Integrity, Plagiarism, and the use of Turnitin

Plagiarism is presenting someone else's work as if it were your own, whether you mean to or not.

'Someone else's work' means anything that is not your own idea. Even if it is presented in your own style, you must still acknowledge your sources fully and appropriately. This includes:

- material from books, journals or any other printed source
- the work of other students or staff
- information from the Internet
- software programs and other electronic material
- designs and ideas
- the organisation or structuring of any such material.

Acknowledgement is required for *all* material in any work submitted for assessment unless it is a 'fact' that is well-known in the context (such as "Wellington is the capital of New Zealand") or your own ideas in your own words. Everything else that derives from one of the sources above and ends up in your work – whether it is directly quoted, paraphrased, or put into a table or figure, needs to be acknowledged with a reference that is sufficient for your reader to locate the original source.

Plagiarism undermines academic integrity simply because it is a form of lying, stealing and mistreating others. Plagiarism involves stealing other people's intellectual property and lying about whose work it is. This is why plagiarism is prohibited at Victoria.

If you are found guilty of plagiarism, you may be penalised under the Statute on Student Conduct. You should be aware of your obligations under the Statute, which can be downloaded from the policy website (www.victoria.ac.nz/home/about/policy/students.aspx). You could fail your course or even be suspended from the University.

Plagiarism is easy to detect. The University has systems in place to identify it.

Student work provided for assessment in this course may be checked for academic integrity by the electronic search engine <http://www.turnitin.com>. Turnitin is an on-line plagiarism prevention tool which compares submitted work with a very large database of existing material. At the discretion of the Head of School, handwritten work may be copy-typed by the School and subject to checking by Turnitin. Turnitin will retain a copy of submitted materials on behalf of the University for detection of future plagiarism, but access to the full text of submissions will not be made available to any other party.

There is guidance available to students on how to avoid plagiarism by way of sound study skills and the proper and consistent use of a recognised referencing system. This guidance may be found at the following website <http://www.victoria.ac.nz/home/study/plagiarism.aspx>

If in doubt seek the advice of your course coordinator.

Plagiarism is simply not worth the risk.

Link to General Information

For general information about course related matters, please go to :-

<http://www.victoria.ac.nz/vbs/studenthelp/general-course-information>

School of Government

Assignment Cover Sheet

Instructions

Please complete and sign this form and attach it as the cover page to your assignment.

Student Name (Please print) _____

Student ID _____ Course Code _____

Course Name _____

Course Coordinator/Tutor/Supervisor _____

Due Date _____ Word Count _____

Plagiarism Declaration

Plagiarism is a form of cheating which undermines academic integrity. Plagiarism is prohibited at Victoria. Plagiarism is presenting (without due acknowledgement) someone else's work as if it were your own, whether you mean to or not. Plagiarism takes many forms and includes material from books, journals or any other printed source, the work of other students or staff, information from the internet and other electronic material. You are expected to adhere to the VUW Statute on Student Conduct and its references to plagiarism. The Statute may be accessed at <http://www.victoria.ac.nz/home/about/policy/students.aspx>.

I have read and understand the University's policy on plagiarism outlined above and declare that this assignment is my own work and that all source material used in this assignment is accurately acknowledged.

Signed: _____ Date: _____