

**PP5111: Introduction to Public Policy and Analysis**  
**August-December Semester 2009**

**Instructors:** Prof. Michael Howlett ([howlett@sfu.ca](mailto:howlett@sfu.ca))  
Prof. Raul Lejano ([rplejano@yahoo.com](mailto:rplejano@yahoo.com))

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**Class Time & Room:** Mondays 9:00-12:00 (except for Week I – Thursday 1:00-4:00)  
Lectures in Law Building Seminar Room 4-4 9:00-11:00;

Tutorial/Discussion Groups in Manesseh Meyer Lecture Rooms.

Group A - MM SR2-1

Group B – MM SR2-2

Group C – MM SR2-3

Group D – MM SR3-4

Note: Please bring your individual name plate with you when attending lectures and discussion.

**Format:** 1.5-2.0 hour lecture and one-hour discussion group each week (except Week I and Week II).

**Overview**

Aristotle's Politics begins with the words: "Every state is a community of some kind, and every community is established with a view to some good..." As such, our inquiry revolves around how we determine what goods we should aspire towards and how we should direct public policies and programs to these ends. What processes do we have for defining the good? What are the different designs that a community takes in organizing collective action? How do we know when policies and institutions are healthy or in need of reform?

This is a course on the fundamentals of policy studies. This means entering into the context (the institutions, ideas, actors, and instruments) of policy. It also means being able to analyze public policy in sophisticated ways, utilizing different conceptual frameworks. The objective is to empower students to begin to *do* analysis. One deliverable for this course is for each student to prepare a real-world policy brief.

Typical issues in the study of policy include the following:

- 1) the rationales for the public sphere and the role of policy analysis within it;
- 2) the policy process
- 2) the generic instruments of public policy;
- 3) rationalism, measurement of social costs and benefits as a dominant form of policy analysis;
- 4) alternatives to the rational model of analysis highlighting the benefits of collaboration and public involvement;
- 5) taking all this into account, the different roles policy analysts can play in democratic societies.

Since there are many different ways of thinking about these issues, there are many different frameworks for understanding public policy and policy science, as a result, is like a collection of different languages that students are expected to learn and to begin utilizing in their interactions with the policy world. They are encouraged to actively employ these tools in their own work: professional reports, theses, master planning exercises, and others. We will see how major public programs, from development aid to energy policy to economic stimulus packages, which can support or undermine the very survival of entire sectors and communities, often are or become deficient because they lack those critical moments of reflection which we call analysis. Throughout the course, students will apply the concepts to various case studies and, finally, on a policy problem of their choosing for the policy brief.

Though the class will cover numerous topics, all of it can be condensed into a handful of key concepts. First, the student has to deeply understand the context of policy (i.e., its actors and processes) and, secondly, the instruments used as vehicles of policy. Thirdly, the student needs to be cognizant of the different modes of activity that can be recognized as policy advice or policy analysis, falling on a spectrum between classic, rational analysis and an alternative so-called 'post-positivist' one. Lastly, we will spend time discussing how a student can incorporate these insights into her/his professional life. The foremost objective of the course is to give the emerging policy professional a number of key concepts and approaches to allow them to begin functioning effectively in a policymaking milieu.

### Requirements and Marking

Assignments (Portfolio)	10%
Participation and discussion groups	15%
Mid-Term Exam	15%
Memorandum to Cabinet	30%
Final Exam	30%

The final project is the completion of what is sometimes called (British-style), a 'Memorandum to Cabinet'; that is, a dossier on some policy issue which usually contains a 1-2 paragraph "Executive Summary"; a 1-2 page "Brief to Cabinet" and a 7-10 page "Report to Cabinet" providing additional levels of detail on the policy problem and alternative solutions (all pages single-spaced).

Note that the weekly discussion group element begins in week 3. For this, students will join a smaller group for an hour each week (generally, during the last hour of the class) and discuss a pre-prepared case study in light of the concepts introduced that week.

At intervals, students will turn in various progress reports on their policy problem. These assignments will be spread out over the semester as shown in the schedule below. The mid-term and final exam will test the student's mastery of the course readings and the concepts taken up in the course.

### Texts

1. Required Textbooks (available at the Coop):

**(HRP)** Howlett, Michael, M. Ramesh and A. Perl (2009). *Studying Public Policy: Policy Cycles and Policy Subsystems* (Toronto: Oxford University Press).

**(RL)** Lejano, R. (2006), *Frameworks for Policy Analysis* (New York: Routledge).

2. Supplementary Readings and Information Packets:

The Course Reader, with additional required readings, is available at the bookstore and in the reserve section of the library. It is important for students to be disciplined about reading all the required material before they are taken up in class. Also, a good number of recommended (but not required) readings are provided for students who want to get deeper into the literature. Note that some required readings (e.g., World Bank reports) are to be simply downloaded from the net --weblinks are provided below.

### Other Policies

Late submissions will be merit a one-step reduction (e.g., B+ to B) in grade for that assignment for the first few days' late, and another reduction for each succeeding week late. Students are, in general, only given a make-up examination in rare circumstances, as outlined in the university handbook, when they must miss the final examination.

### Office Hours

The instructors will be available for consultation between 1:30-3 pm each Monday (Howlett LKS02-02; Lejano OTH03-01L, or by appointment (which students can arrange by emailing the instructor). TA's will be available in MM Study Room 01-01 Thursdays 2:00-4:00 pm (appointment in advance by emailing is preferred).

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## Week by Week Outline and Reading List

### Section I - Introduction

#### **Week 1 (Aug. 13\*) Introduction and Short History of Policy Analysis (MH)**

*\* Note: Because of the university holiday on Aug. 10, class during this first week is moved to Thursday, Aug. 13. Classes resume on the regular Monday schedule on Aug. 17.*

*Introductions, overview of the course including administration & assignment calendar. Lecture topics include: policy analysis vs policy; Lasswell and other key figures in the US policy movement; the policy process; professionalization of policy analysis; spread of policy analysis movement throughout globe.*

#### *Required Readings:*

HRP Ch. 1

Lasswell, H. D. (1951). The Policy Orientation. *The Policy Sciences: Recent Developments in Scope and Method*. D. Lerner and H. D. Lasswell. Stanford, Stanford University Press: 3-15.

Meltsner, Arnold J. "Creating a Policy Analysis Profession." In *Improving Policy Analysis*, edited by Stuart S. Nagel, 235-49. Beverly Hills: Sage Publications, 1980.

Jann, Werner, and Kai Wegrich. "Theories of the Policy Cycle." In *Handbook of Public Policy Analysis: Theory, Politics and Methods*, edited by Frank Fischer, Gerlad J. Miller and Mara S. Sidney, 43-62. Boca Raton: CRC Press, 2007.

#### *Recommended Readings:*

Lindblom, C. E. "Policy Analysis." *American Economic Review* 48, no. 3 (1958): 298-312.

Lynn, L. E. "Policy Analysis in the Bureaucracy: How New? How Effective?" *Journal of Policy Analysis and Management* 8, no. 3 (1989): 373-77.

Mintrom, Michael. "The Policy Analysis Movement." In *Policy Analysis in Canada: The State of the Art*, edited by L. Dobuzinskis, M. Howlett and D. Laycock, 71-84. Toronto: University of Toronto Press, 2007.

Torgerson, D. "Contextual Orientation in Policy Analysis: The Contribution of Harold D. Lasswell." *Policy Sciences* 18 (1985): 240-52.

Wildavsky, A. B. *Speaking Truth to Power: The Art and Craft of Policy Analysis*. Boston: Little-Brown, 1979. Ch 1.

#### **Week 2 (Aug 17) Rationality and the Philosophy of Policy Analysis (RL)**

*This week covers the theoretical and philosophical bases of policy analysis. Topics covered include: the elements of the rational model and positivism vs. post-positivism. The main objective is to learn how policy analysis is a product of shifting currents of thought over the centuries leading up to the post-positivist currents of the 21st.*

#### *Required Readings:*

RL (Introductory chapter & Ch. 1)

Dixon, J., and R. Dogan. "The Conduct of Policy Analysis: Philosophical Points of Reference." *Review of Policy Research* 21, no. 4 (2004): 559-79.

Jiang, Yi-Huan, "Confucianism and East Asian Public Philosophy: An Analysis of 'Harmonize but not Conform'," (found in <http://homepage.ntu.edu.tw/~jiang/PDF/D11.pdf>)

*Recommended Readings:*

- deHaven-Smith, L. *Philosophical Critiques of Policy Analysis*. Gainesville: University of Florida Press, 1988.
- Dunn, W. N. "Methods of the Second Type: Coping with the Wilderness of Conventional Policy Analysis." *Policy Studies Review* 7, no. 4 (1988): 720-37.
- Fischer, Frank. "Policy Analysis in Critical Perspective: The Epistemics of Discursive Practices." *Critical Policy Analysis* 1, no. 1 (2007): 97-109.
- Hawkesworth, M. "Epistemology and Policy Analysis." In *Advances in Policy Studies*, edited by W. Dunn and R. M. Kelly, 291-329. New Brunswick: Transaction Press, 1992.
- Jennings, B. "Interpretation and the Practice of Policy Analysis." In *Confronting Values in Policy Analysis: The Politics of Criteria*, edited by F. Fischer and J. Forester, 128-52. Newbury Park: Sage, 1987.

During the last hour of the class, we will be joined by **Mr. Ong Ye Kung, Deputy Secretary General of the National Trade Unions Congress**, to discuss decision-making processes at the highest levels of government and give suggestions regarding how to write policy briefs. Students should think of questions they would like to ask during the question-and-answer portion of his talk.

## Section 2 – Policy Context

### **Week 3 (Aug 24) Institutions and Constitutions (MH)**

*This lecture covers a wide-range of governmental structures and actors involved in policy-making in modern states. Topics include constitutions and law; executives; parliaments and legislatures; business and labour; bureaucracy; political parties; interest groups and interest articulation systems.*

*Required Readings:*

- HRP Ch. 3
- Schmitter, P. C. "Modes of Interest Intermediation and Models of Societal Change in Western Europe." *Comparative Political Studies* 10, no. 1 (1977): 7-38.
- Sproule-Jones, M. "Institutions, Constitutions, and Public Policies: A Public-Choice Overview." In *The Politics of Canadian Public Policy*, edited by M. Atkinson and M. Chandler, 127-50. Toronto: University of Toronto Press, 1983.

*Recommended Readings:*

- Olsen, J. P. "Maybe It Is Time to Rediscover Bureaucracy." *Journal of Public Administration Research and Theory* 16, no. 1 (2005): 1-24.
- Olson, D. M., and M. L. Mezey. *Legislatures in the Policy Process: The Dilemmas of Economic Policy*. Cambridge: Cambridge University Press, 1991.
- Bakvis, H. "Advising the Executive: Think Tanks, Consultants, Political Staff and Kitchen Cabinets." In *The Hollow Crown: Countervailing Trends in Core Executives*, edited by P. Weller, H. Bakvis and R. A. W. Rhodes, 84-125. New York: St. Martin's Press, 1997.
- Howlett, M. "Federalism and Public Policy." In *Canadian Politics - Third Edition*, edited by J. Bickerton and A. Gagnon. Peterborough: Broadview Press, 1999.
- Rhodes, R.A.W., John Wanna, and Patrick Weller. "Reinventing Westminster: How Public Executives Reframe Their World." *Policy and Politics* 36, no. 4 (2008): 461-79.
- Weller, P., H. Bakvis, and R. A. W. Rhodes. *The Hollow Crown: Countervailing Trends in Core Executives*. New York: St. Martin's Press, 1997.

**Discussion Session: Tutorial #1 Do Parties Matter?**

*Required Readings:*

Schmidt, M. G. "When Parties Matter: A Review of the Possibilities and Limits of Partisan Influence on Public Policy." *European Journal of Political Research* 30 (1996): 155-83.  
von Beyme, K. "Do Parties Matter? The Impact of Parties on the Key Decisions in the Political System." *Government and Opposition* 19, no. 1 (1984): 5-29.

**\*\*(Problem Statement Assignment Due**

A 1-page (500 words) description of the selected policy problem for the Policy Brief and outline of the research questions that the student feels are most relevant to the subject chosen.

**Week 4 (Aug 31) Actors, Interests and Ideas (MH)**

*This lecture focuses on the policy-community/network model of policy subsystems and other similar ways to think about and analyze policy-making. Topics covered include: policy communities and networks, advocacy coalitions, policy paradigms and policy regimes.*

*Required Readings:*

HRP Chs 4,6,7,8

Hall, P. A. (1993). "Policy Paradigms, Social Learning and the State: The Case of Economic Policy Making in Britain." *Comparative Politics* 25(3): 275-96.

*Recommended Readings:*

Kenis, P., and V. Schneider. "Policy Networks and Policy Analysis: Scrutinizing a New Analytical Toolbox." In *Policy Networks: Empirical Evidence and Theoretical Considerations*, edited by B. Marin and R. Mayntz, 25-59. Boulder: Westview, 1991.

Agranoff, R., and M. McGuire. "Managing in Network Settings." *Policy Studies Review* 16, no. 1 (1999): 18-41.

Sabatier, P. A. (1988). "An Advocacy Coalition Framework of Policy Change and the Role of Policy-Oriented Learning Therein." *Policy Sciences* 21(2/3): 129-168.

Braun, D. (1999). Interests or Ideas? An Overview of Ideational Concepts in Public Policy Research. *Public Policy and Political Ideas*. D. Braun and A. Busch. Cheltenham, Edward Elgar: 11-29.

Raab, Jorg, and Patrick Kenis. "Taking Stock of Policy Networks: Do They Matter?" In *Handbook of Public Policy Analysis: Theory, Politics and Methods*, edited by Frank Fischer, Gerald J. Miller and Mara S. Sidney, 187-200. Boca Raton: CRC Press, 2007.

Klijn, Erik-Hans, and Chris Skelcher. "Democracy and Governance Networks: Compatible or Not?" *Public Administration* 85, no. 3 (2007): 587-608.

**Discussion Session: Tutorial #2 Do Ideas Matter?**

*Required Readings:*

Hall, P. A. (1992). The Change from Keynesianism to Monetarism: Institutional Analysis and British Economic Policy in the 1970s. *Structuring Politics: Historical Institutionalism in Comparative Analysis*. S. Steinmo, K. Thelen and F. Longstreth. Cambridge, Cambridge University Press: 90-114.

### **Week 5 (Sept. 7) Policy Instruments and Tools (MH)**

*A discussion of policy tools and of the models developed to explain their differences, purposes, and reasons for selection. Topics include: substantive and procedural tools; public ownership, regulation, information use, subsidies, grants, advisory committees, commissions of inquiry, and other tools.*

#### *Required Readings:*

HRP (Ch. 5)

Schneider, A. L., and H. Ingram. "Behavioural Assumptions of Policy Tools." *Journal of Politics* 52, no. 2 (1990): 511-29.

Hood, C. 1983. "Using Bureaucracy Sparingly." *Public Administration* 61 (2): 197-208.

#### *Recommended Readings:*

Linder, S. H., and B. G. Peters. "Instruments of Government: Perceptions and Contexts". *Journal of Public Policy* 9, no. 1 (1989): 35-58.

Howlett, M. "Managing The "Hollow State": Procedural Policy Instruments and Modern Governance." *Canadian Public Administration* 43, no. 4 (2000): 412-31.

Hood, Christopher, and Helen Z. Margetts. *The Tools of Government in the Digital Age*. Basingstoke: Palgrave Macmillan, 2007.

de Bruijn, J. A., and E. F. ten Heuvelhof. "Instruments for Network Management." In *Managing Complex Networks: Strategies for the Public Sector*, edited by W. J. M. Kickert, E. -H Klijn and J. F. M. Koppenjan, 119-36. London: Sage, 1997.

Schneider, A. L., and H. Ingram "Policy Design: Elements, Premises and Strategies." In *Policy Theory and Policy Evaluation: Concepts, Knowledge, Causes and Norms*, edited by S. S. Nagel, 77-102. New York: Greenwood, 1990.

### **Discussion Session: Case Study #1: Policy Design in Practice – The Fishery**

#### *Required Readings:*

Townsend, R. E., J. McColl, et al. (2006). "Design Principles for Individual Transferable Quotas." *Marine Policy* 30: 131-141.

Schwindt, R., A. R. Vining, et al. (2003). "A Policy Analysis of the BC Salmon Fishery." *Canadian Public Policy* 29(1): 73-94.

#### **\*\*(Bibliography Assignment Due)**

A one-page single-spaced annotated bibliography describing relevant academic and non-academic literature, articles, and news clippings that describe important aspects and contending sides in their policy issue.

### **Week 6 (Sept. 14) Mid-Term Exam**

**Sept. 19-27 Reading Week**

### Section 3 - Policy Analysis in Practice

#### **Week 7 (Sept 28) Policy Analytical Styles (MH)**

Covers policy analytical styles focusing on the Mayer, Bots and van Daalen model of six primary types. The lecture situates these types within the positivist-post-positivist framework and the idea of policy advice systems set out in previous week.

##### *Required Readings:*

- Mayer, I., P. Bots, and E. v. Daalen. "Perspectives on Policy Analysis: A Framework for Understanding and Design." *International Journal of Technology, Policy and Management* 4, no. 1 (2004): 169-91.
- Forester, John. "What Analysts Do." In *Values, Ethics and the Practice of Policy Analysis*, edited by William N. Dunn, 47-62. Lexington: Lexington Books, 1983.
- Hoppe, R. "Policy Analysis, Science and Politics: From 'Speaking Truth to Power' to 'Making Sense Together'." *Science and Public Policy* 26, no. 3 (1999): 201-10.

##### *Recommended Readings:*

- Radin, B. A. *Beyond Machiavelli: Policy Analysis Comes of Age*. Washington DC: Georgetown University Press, 2000.
- Eden, C., F. Ackermann, J.M. Bryson, G.P. Richardson, D.F. Andersen, and C.B. Finn. "Integrating Modes of Policy Analysis and Strategic Management Practice: Requisite Elements and Dilemmas." *Journal of Operational Research Society* 60 (2009): 2-13.
- Gormley, William T. "Public Policy Analysis: Ideas and Impact." *Annual Review of Political Science* 10 (2007): 297-313.
- Hansen, S. B. "Public Policy Analysis: Some Recent Developments and Current Problems." *Policy Studies Journal* 12 (1983): 14-42.
- House, P. W., and R. D. Shull. *The Practice of Policy Analysis: Forty Years of Art & Technology*. Washington DC: The Compass Press, 1991.
- Jenkins-Smith, H. "Continuing Controversies in Policy Analysis." In *Policy Analysis and Economics: Developments, Tensions, Prospects*, edited by D. L. Weimer, 23-43: Boston: Kluwer, 1991.
- Jenkins-Smith, H. C. "Professional Roles for Policy Analysts: A Critical Assessment." *Journal of Policy Analysis and Management* 2, no. 1 (1982): 88-100.

#### **Discussion Session: Tutorial #3: Is Policy Analysis Value-Free?**

##### *Required Readings:*

- Durning, D., and W. Osuna. "Policy Analysts' Roles and Value Orientations: An Empirical Investigation Using Q Methodology." *Journal of Policy Analysis and Management* 13, no. 4 (1994): 629-57.
- Meltsner, A. J. 1976. *Policy Analysts in the Bureaucracy*. Berkeley: University of California Press.

#### **Week 8 (Oct 5) Positivism (I): Rational Decision-Making Models (RL)**

This week examines the rational model, specifically: central decision-maker assumptions, decision theory and cost-benefit analysis. Lecture topics include: rationality and utilitarian foundations of policy analysis and application of the rational model in cost-benefit analysis.

##### *Required Readings:*

- RL (Ch. 2-4)
- World Bank, Earthquake Vulnerability Reduction Program in Colombia: A Probabilistic Cost-Benefit Analysis, WPS3939, 2006. find by doing a google search or click on

[http://www.wds.worldbank.org/servlet/WDSContentServer/WDSP/IB/2006/06/07/000016406\\_20060607102048/Rendered/PDF/wps3939.pdf](http://www.wds.worldbank.org/servlet/WDSContentServer/WDSP/IB/2006/06/07/000016406_20060607102048/Rendered/PDF/wps3939.pdf)

*Recommended Readings:*

- Boardman, A. E., D. H. Greenberg, A. R. Vining, D. L. Weimer, D. H. Greenberg, A. R. Vining, and D. L. Weimer. *Cost-Benefit Analysis: Concepts and Practice*. Upper Saddle River: Prentice Hall, 2001.
- Cahill, A. G. and E. S. Overman (1990). "The Evolution of Rationality in Policy Analysis". *Policy Theory and Policy Evaluation: Concepts, Knowledge, Causes, and Norms*. S. S. Nagel. New York, Greenwood Press: 11-27
- Carrier, H. D. and W. A. Wallace (1990). "A Philosophical Comparison of Decision Aid Techniques for the Policy Analyst." *Evaluation and program planning* 13: 293-301.
- Davidson, E. J. (2005). *Evaluation Methodology Basics*. Sage, Thousand Oaks.
- Pollard, W. E. (1987). "Decision Making and the Use of Evaluation Research." *American Behavioural Scientist* 30: 661-676.
- Stokey, E., and R. Zeckhauser. *A Primer for Policy Analysis*. New York: W.W. Norton, 1978.

**Discussion Session: Case Study #1 The Fishery cont'd. – Science vs Managerialism**

Schwindt, R., A. Vining, et al. (2000). "Net Loss: A Cost-Benefit Analysis of the Canadian Pacific Salmon Fishery." *Journal of Policy Analysis and Management* 19(1): 23-45.

Hutchings, J. A., C. Waters, et al. (1997). "Is Scientific Inquiry Incompatible with Government Information Control?" *Canadian Journal of Fisheries and Aquatic Science* 54: 1198-1210.

**\*\* (Draft Policy Brief Example) Due**

A presentation and critique of an actual policy brief submitted in the jurisdiction under study, with notes on origin, authorship, format, content and timing

**Week 9 (Oct 12) Positivism (II): Welfare Models – Market and Governance Failures (RL)**

*Sets out the theory of market and governance failures and discusses its impact on policy analysis and rationales for instrument choices. Lecture topics include the theory of collective action and institutional arrangements leading to pro-market policy prescriptions and the evidence for and against them.*

*Required Readings:*

- Ostrom, E. Chapter 1 in *Governing the Commons: The Evolution of Institutions for Collective Action*. Cambridge: Cambridge University Press, 1990, pp. 1-28.
- Asian Development Bank, *Special Evaluation Study on the Privatization of Public Sector Enterprises: Lessons for Developing Member Countries*, STU 2001-15.  
(available at <http://www.adb.org/Documents/PERs/sst-stu-2001-15/default.asp>)
- Kleiman, Mark A. R., and Steven M. Teles. "Market and Non-Market Failures." In *The Oxford Handbook of Public Policy*, edited by Michael Moran, Martin Rein and Robert E. Goodin, 624-50. Oxford: Oxford University Press, 2006.

*Recommended Readings:*

- Osse, Stephane, *The Energy Sector Reform and Macroeconomic Adjustment in a Transition Economy: The Case of Romania*, IMF Policy Discussion Paper, 2003.
- Dollery, B., and J. Wallis. *Market Failure, Government Failure, Leadership and Public Policy*. London: Macmillan, 1999.
- Le Grand, J. "The Theory of Government Failure." *British Journal of Political Science* 21, no. 4 (1991): 423-42.
- Olson, M. *The Logic of Collective Action: Public Goods and the Theory of Groups*. Cambridge: Harvard University Press 1965.
- Weimer, D. L., and A. R. Vining. *Policy Analysis: Concepts and Practice*. New Jersey: Prentice Hall, 2004.
- Wolf Jr., C "Markets and Non-Market Failures: Comparison and Assessment." *Journal of Public Policy* 7,



no. 1 (1987): 43-70.

Also: recommend looking up the terms "tragedy of the commons" and "free-rider problem" on *Wikipedia*.

**Discussion Session: Case Study #1 The Fishery cont'd. – The Tragedy of the Commons and the Fishery**

*Required Readings:*

Hardin, G. (1968). "The Tragedy of the Commons." *Science* 162: 1243-48.

McWhinnie, S. F. (2009). "The Tragedy of the Commons in International Fisheries: An Empirical Examination." *Journal of Environmental Economics and Management* 57: 321-333.

**Week 10 (Oct 19) Positivism (III): The Evidence-Based Policy Movement (MH)**

*This week covers knowledge utilization, mobilization, and generation, and the manner in which recent trends towards 'evidence-based policy-making' reflect these issues and concerns within a re-asserted or re-invented rationalist framework. Lecture topics include evidence-based vs evidence-informed policy making; the three communities models of knowledge dissemination; strategic vs deliberative use of information; policy advisory systems; policy analytical capacity and the supply and demand for policy advice in government..*

*Required Readings:*

Weiss, C. H. (1977). "Research for Policy's Sake: The Enlightenment Function of Social Science Research." *Policy analysis* 3(4): 531-545.

Nutley, Sandra M., Isabel Walter, and Huw T.O. Davies. *Using Evidence: How Research Can Inform Public Services*. Bristol: Policy Press, 2007.

Howlett, Michael, "Policy Analytical Capacity and Evidence-Based Policy-Making: Lessons from Canada" in *Canadian Public Administration* 55 (2) June 2009.

*Recommended Readings:*

Dunn, W. N. (1980). "The Two-Communities Metaphor and Models of Knowledge Use." *Knowledge: Creation, Diffusion, Utilization* 1(4): 515-536.

Lester, J. P., and L. J. Wilds. "The Utilization of Public Policy Analysis: A Conceptual Framework." *Evaluation and program planning* 13 (1990): 313-19.

Whiteman, D. (1985). "The Fate of Policy Analysis in Congressional Decision Making: Three Types of Use in Committees." *Western Political Quarterly* 38(2): 294-311.

Hammersley, M. "Is the Evidence-Based Practice Movement Doing More Good Than Harm? Reflections on Iain Chalmers' Case for Research-Based Policy Making and Practice." *Evidence & Policy* 1, no. 1 (2005): 85-100.

Sanderson, I. "Complexity, 'Practical Rationality' and Evidence-Based Policy Making." *Policy & Politics* 34, no. 1 (2006): 115-32.

**Discussion Session: Tutorial #4: Does More Evidence Lead to Better Policy?**

*Required Readings:*

Tenbenschel, T. "Does More Evidence Lead to Better Policy? The Implications of Explicit Priority-Setting in New Zealand's Health Policy for Evidence-Based Policy." *Policy Studies* 25, no. 3 (2004): 190-207.

Hughes, Caitlin E. "Evidence-Based Policy or Policy-Based Evidence? The Role of Evidence in the Development and Implementation of the Illicit Drug Diversion Initiative." *Drug and Alcohol Review* 26, no. July (2006): 363-68.

**Week 11 (Oct 26) Post-Positivism (I): Normative/Critical Analysis (RL)**

*This week contrasts rationalist and post-positivist approaches. We begin examining the latter by looking at normative approaches to analysis. The question shifts from "what is advantageous?" and "what is efficient?" to "what is right?" and "what is wrong?". Lecture topics cover contrasting norms and ideas of utility, the use of normative/critical theory in policy analysis and program evaluation, and contrasting justice as 'proportionality' and justice as 'right'. The foundations of critical theory are examined along with a recent policy report that attempts to use a normative framework.*

**Required Readings:**

RL (ch. 4, 6, 7)

Shue, Henry. "Ethical Dimensions of Public Policy," in Moran, Rein, and Goodin (eds.), *The Oxford Handbook of Public Policy*, Oxford: Oxford University Press, 2006, pp. 709-728.

World Bank, *Realizing rights through social guarantees : an analysis of new approaches to social policy in Latin America and South Africa*, Report No. 40047 - GLB, Social Development Department, Feb. 2008, pages to be assigned in class. Find by doing a google search or click on [http://siteresources.worldbank.org/EXTSOCIALDEVELOPMENT/Resources/244362-1164107274725/3182370-1164107324437/Realizing\\_Rights\\_through\\_Social\\_Guarantees-web1.pdf](http://siteresources.worldbank.org/EXTSOCIALDEVELOPMENT/Resources/244362-1164107274725/3182370-1164107324437/Realizing_Rights_through_Social_Guarantees-web1.pdf)

**Recommended Readings:**

Dryzek, John. "Policy Analysis as Critique," in Moran, Rein, and Goodin (eds.), *The Oxford Handbook of Public Policy*, Oxford: Oxford University Press, 2006.

Rein, Martin, and Sheldon H. White. "Policy Research: Belief and Doubt." *Policy Analysis* 3, no. 2 (1977): 239-70.

Sefton, Tom "Distributive and Redistributive Policy" In *The Oxford Handbook of Public Policy*, edited by Michael Moran, Martin Rein and Robert E. Goodin, 624-50. Oxford: Oxford University Press, 2006.

Shulock, N. "The Paradox of Policy Analysis: If It Is Not Used, Why Do We Produce So Much of It?" *Journal of Policy Analysis and Management* 18, no. 2 (1999): 226-44.

Wagenaar, H., and S. D. N. Cook. "Understanding Policy Practices: Action, Dialectic and Deliberation in Policy Analysis." In *Deliberative Policy Analysis: Understanding Governance in the Network Society*, edited by M. Hajer and H. Wagenaar, 139-71. London: Cambridge University Press, 2003.

Weiss, Carol. "Understanding the Program," Chapter III in Weiss, C., *Evaluation*. 2nd ed. Upper Saddle River, NJ: Prentice Hall, 1998.

**Discussion Session: Case Study #2 - Fertility rates among the world's poor.**

**Required Reading:**

Information package (to be provided the previous week).

**\*\*(Draft Policy Brief Assignment) Due**

A complete draft of Part III of the final assignment (background report) with notes on key aspects to be highlighted in executive summary and 1-2 page brief.

### **Week 12 (Nov 2) Post-Positivism (II): Narrative/Hermeneutic Analysis (RL)**

*In this lecture we examine concepts such as policy as text and interpretive policy analysis. That is, we move from the criterion of "what is more efficient?" to "which is the better story? and "who is the better storyteller?" The lecture covers narratives and discourse coalitions as well as the overlap between political pluralist and discourse models.*

#### *Required Readings:*

RL (Ch. 5)

- Hajer, Maarten, "Discourse Coalitions and the Institutionalization of Practice: The Case of Acid Rain in Britain," in Fischer, Frank and John Forester, *The Argumentative Turn in Policy Analysis and Planning*, Durham/London: Duke University, 1993.
- Lejano, Raul and Anne Taufen Wessells, "Community and economic development: Seeking common ground in discourse and in practice," *Urban Studies* 43(9):1469-1489, 2006.
- VanderStaay, Steven 1994. "Stories of (social) distress: Applied narrative analysis and public policy for the homeless," *Journal of Social Distress and the Homeless*, Vol. 3(4):299-319.

#### *Recommended Readings:*

- Dryzek, J. "Policy Analysis as Hermeneutic Activity." *Policy Sciences* 14, no. 4 (1982): 309-29.
- Fischer, F., and J. Forester. *The Argumentative Turn in Policy Analysis and Planning*. Durham: Duke University Press, 1993.
- Harris, Jamie and Thomas Lengyel 2002. "Ends that don't meet: Unemployment under welfare reform," Chapter 1 in Harris and Campbell (eds.), *Welfare Policy Through the Lens of Personal Experience*, Alliance for Children and Families, Milwaukee, WI.
- Prasad, Anshuman and Raza Mir 1992. "Digging deep for meaning: A critical hermeneutic analysis of CEO letters to shareholders in the oil industry," *The Journal of Business Communication* 39(1):92-116.
- Roe, E. *Narrative Policy Analysis: Theory and Practice*. Durham: Duke University Press, 1994.
- Schneider, A., and H. Ingram. "Social Construction of Target Populations: Implications for Politics and Policy." *American Political Science Review* 87, no. 2 (1993): 334-47.
- Stone, Deborah. "Causal Stories and the Formation of Policy Agendas," *Political Science Quarterly* 104(2):281-300.
- Throgmorton, J. A. "The Rhetorics of Policy Analysis." *Policy Sciences* 24 (1991):153-79.
- Yanow, Dvora. "Interpretation in Policy Analysis: On Methods and Practice." *Critical Policy Analysis* 1, no. 1 (2007): 110-22.

<p><b>Discussion Session:</b>      <b>Case Study #3, The Global Financial Meltdown.</b></p>
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<p><i>Required Reading:</i> Information Package (to be provided the previous week).</p>
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### **Week 13 (Nov 9) Post-positivism (III): Deliberative Democracy and Collaborative Governance (RL)**

*We shift from rationality and discourse to communicative rationality, and examine links to participation and deliberative democracy. Lecture topics cover deliberative democracy and its institutions; participation and process as a response to knowledge needs and complexity. We examine a good example of this kind of policy analysis in the form of inclusionary and gender-based process design.*

#### *Required Readings:*

RL (Ch. 9)

- Patsy Healey, "Planning Through Debate: The Communicative Turn in Planning Theory," in Fischer, Frank and John Forester, *The Argumentative Turn in Policy Analysis and Planning*, Durham/London: Duke University, 1993, pp. 233-253.

Innes, Judith and David Booher. 1999. Consensus Building and Complex Adaptive Systems. *Journal of the American Planning Association* 65(4):412-423.

*Recommended Readings:*

- Forester, John. *The Deliberative Practitioner: Encouraging Participatory Planning Processes*, Cambridge, MA: MIT Press, 1999.
- Hajer, M., H. Wagenaar, and H. Wagenaar. *Deliberative Policy Analysis: Understanding Governance in the Network Society*. London: Cambridge University Press 2003.
- Lovan, W. R., M. Murray, et al. (2004). *Participatory Governance in a Changing World. Participatory Governance: Planning, Conflict Mediation and Public Decision-Making in Civil Society*. Aldershot, Ashgate: 1-20.
- Mandell, Myrna (ed.). 2001. *Getting Results Through Collaboration: Networks and Network Structures for Public Policy and Management*, Westport, CT: Quorum.
- Schneider, A. L., and H. Ingram. *Policy Design for Democracy*. Lawrence: University Press of Kansas, 1997.
- Susskind, Lawrence, Jennifer Thomas-Larmer, and Sarah McKearnen. 1999. *The consensus building handbook: A Comprehensive comprehensive guide to reaching agreement*. Thousand Oaks, CA: Sage, 1999.

**Discussion Session: Case Study #3 The Global Financial Meltdown cont'd. – Deliberation and Participation**

*Required Reading:* Information Package (to be provided the previous week).

**\*\* Final Policy Brief Due**

**Week 14 (Nov 16) Reading Week & Review Class (Voluntary)**

**Week 15 (Nov 23) Final Exam Nov 23 9:00 SR3-1, SR3-5, SR2-1**

**\*\* WARNING FOR CLASS ASSIGNMENTS: PLAGIARISM \*\***

“The LKY School’s Academic Code of Conduct lists academic integrity as one of six important values. According to this Code, we have agreed to ‘make every effort to understand what counts as plagiarism and why this is wrong’. To avoid giving the impression that you are passing off other people’s work as your own, you will need to acknowledge conscientiously the sources of information, ideas, and arguments used in your paper. For this purpose, you will use the ‘footnote style’ according to the Chicago Manual of Style, the guidelines for which can be found online at

[http://www.dianahacker.com/resdoc/p04\\_c10\\_s2.html](http://www.dianahacker.com/resdoc/p04_c10_s2.html)

in the companion website for Diana Hacker’s A Writer’s Reference. Please also refer to the handout that was given to you at the Workshop on Plagiarism conducted during the Orientation period.”

**Student Information Sheet**

***Instructions:*** Please fill out this sheet and submit it to the Instructor at the end of the first class.

1. Name: \_\_\_\_\_

2. Citizenship/Country of Residence: \_\_\_\_\_

3. First Language: \_\_\_\_\_

4. Most Recent University Degree Granted: \_\_\_\_\_ Year Granted: \_\_\_\_\_

Discipline/Major/Minor(s): \_\_\_\_\_

5. Areas of Policy-Relevant Work Experience: \_\_\_\_\_

Years \_\_\_\_\_

6. Number of University-level Public Policy Courses Completed: \_\_\_\_\_

Subjects: \_\_\_\_\_

7. Number of University-level Political Science Courses Completed: \_\_\_\_\_

Subjects: \_\_\_\_\_

8. Number of University-level Economics Courses Completed: \_\_\_\_\_

Subjects: \_\_\_\_\_

9. Reasons for Studying Graduate Level Public Policy:

\_\_\_\_\_

\_\_\_\_\_

10. Policy Area(s)/Subject(s) of Academic Interest: \_\_\_\_\_

\_\_\_\_\_

11. Primary Expected Learning Outcome from this Course:

\_\_\_\_\_