Instructors: Prof. Michael Howlett (howlett@sfu.ca)
Prof. Raul Lejano (plejano@yahoo.com)

Teaching Assistants: Allen Lai (allen@nus.edu.sg)
Nguyen Thi My Hoa (g0900471@nus.edu.sg)

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

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<th>Requirement</th>
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<td>Assignments (Portfolio)</td>
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<tr>
<td>Participation and discussion groups</td>
<td>15%</td>
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<td>Mid-Term Exam</td>
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<td>Memorandum to Cabinet</td>
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<td>Final Exam</td>
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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):

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 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).
Section 1 - 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

Recommended Readings:

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)
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:

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

Recommended Readings:
Discussion Session: Tutorial #1 Do Parties Matter?

Required Readings:

**(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

Recommended Readings:

Discussion Session: Tutorial #2 Do Ideas Matter?

Required Readings:
**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)


**Recommended Readings:**


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

**Required Readings:**


**(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:

Recommended Readings:

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

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
Recommended Readings:


**Discussion Session:**

*Case Study #1 The Fishery cont’d. – Science vs Managerialism*


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

**(Draft Policy Brief Example) Due**


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:


Recommended Readings:


Wolf Jr., C "Markets and Non-Market Failures: Comparison and Assessment." *Journal of Public Policy* 7,
Discussion Session: Case Study #1 The Fishery cont'd. – The Tragedy of the Commons and the Fishery

Required Readings:


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:


Recommended Readings:


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

Required Readings:

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)

Recommended Readings:

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)

Recommended Readings:
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.

Discussion Session: Case Study #3, The Global Financial Meltdown.

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

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)

**Recommended Readings:**

**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:
    ____________________________________________________________________