

School of Government

PUBL 401
CRAFT AND METHOD IN POLICY ANALYSIS

Trimester One 2009

COURSE OUTLINE

Names and Contact Details

Course Co-ordinator: **Dr Karen Baehler**
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Trimester Dates

Monday 2 March to Wednesday 1 July 2009.

Class Times and Room Numbers

Module One: Tuesday 24 February 2009 8.30am – 6.00pm

Module Two: Tuesday 21 April 2009 8.30am – 6.00pm

Module Three: Tuesday 9 June 2009 8.30am – 6.00pm

Locations: Classes will be held on the Pipitea Campus of Victoria University and you will be advised of your classroom one week prior to each module by email.

Withdrawal dates: Information available via
<http://www.victoria.ac.nz/home/admisenrol/payments/withdrawalsrefunds.aspx>

Course Learning Objectives

This course examines critically how policy analysts apply different methods, theories, and substantive knowledge to problems and opportunities, and support economic, social, environmental and cultural outcomes in different contexts. The course considers the role of analysts and advisers and the value they create by providing information and analysis to support policy understanding and decision-making.

By the end of the course, participants will:

- Understand the various ways policy analysts frame their tasks, the main characteristics of their practices, and various standards of ‘good’ practice;
- Appreciate the importance of undertaking policy analysis tasks holistically, drawing on a variety of theories and methods, and designing practices to suit specific contexts; and
- Demonstrate skills in analytic reasoning and communication.

Course Content

New Zealand’s democratic Westminster traditions require public sector advisers to balance out the dual roles of implementing the decisions of politicians, while also providing them with analytically sound and professional policy advice which is free and frank. Advisers need to add value to decision-makers by bringing evidence-based perspectives to bear on issues, while having regard for a government’s policy preferences, existing policy commitments and international best practice.

The course provides an overview of policy analysis and advising as activities in the New Zealand context. It reviews the academic and practitioner literatures and various policy analysis frameworks which underpin quality policy analysis and advice. Attention is given to the positioning and comparative advantage which public sector analysts and advisers can bring to their role. The course addresses the challenges faced by governments to build policy capability – including strategies for enhancing the knowledge, skills, competencies and attitudes of policy analysts and advisers.

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 before the first module. Regular learning is necessary between modules (students who leave everything to the last moment rarely achieve at a high level). Expressed in input terms, the time commitment required usually translates to 65 – 95 hours (excluding class contact time) per course.

Group Work

Students will engage in group discussion and work during the course; however assessments in the course will be based on individual assignments.

Readings

Participants in this course should purchase a set of readings from VicBooks, Student Book Centre, Pipitea Campus. The readings are supplemented by further materials distributed throughout the course. There is no set text. Priority should be given to the readings marked with *** but all are interesting and will enhance your learning outcomes from the course.

1. Introduction

- Weimer, D. and A. Vining (1999) *Policy Analysis: Concepts and Practice*, chapters 1 & 2.

2. Models for Policy Analysis and Advice

- Bardach, E. (1995) *Policy Analysis: A Handbook for Practice*, Electronic Hallway. ***
- Behm, A. et al. (2000) “A Value-Creating Model for Effective Policy Services,” *Journal of Management Development* 19(3): 162 – 178. ***
- Mayer, I., C. E. van Daalen and P. Bots (2004) “Perspectives on Policy Analysis: A Framework for Understanding and Design,” *Journal of Technology, Policy and Management* 4(2): 169 – 191. ***

3. Case Study

- Simmons, S. R. and T. S. Dunrud (2004) “A Towering Dilemma,” Electronic Hallway. ***

Supporting Material

- International Association of Public Participation Australasia, IAP2 Public Participation Spectrum and Toolbox, www.iap2.org.au

4. Policy Capability

- Huxham, C. (2003) “Theorizing Collaboration Practice,” *Public Management Review* 5(3): 401 – 423.
- Scott, C. (2008) “Enhancing Quality and Capability in the Public Sector Advisory System,” Institute of Policy Studies Futuremakers Lecture Series, Wellington, 23 September. ***

5. Case Study

- Tyson, J. (2004) “A Voluntary Environmental Accord for the Dairy Industry,” Part A, The Australia and New Zealand School of Government Case Program. ***

Supporting Material (**not provided in hard copy**)

- Braithwaite, V. (2006) “Ten Things You Need to Know About Regulation But Didn’t Want to Ask,” Regulatory Institutions Network, Australian National University, Occasional Paper 10:
<http://demgov.anu.edu.au/papers/Braithwaite2006OP10.pdf>
- Foley, T. (2004) “Using a Responsive Regulatory Pyramid in Environmental Regulation,” Queensland Environmental Law Association Conference: Carrot Sticks and Toolkits,

http://www.qela.com.au/_dbase_upl/1.foley.pdf

- Ministry of Consumer Affairs (2005) “Review of Industry-Led Regulation: Discussion Paper,” Wellington:
<http://www.consumeraffairs.govt.nz/policylawresearch/industry-led-regulation/discussion/index.html>

6. From Problems to Solutions

- Australian Public Service Commission (2007) “Tackling Wicked Problems: A Public Policy Perspective” **(not provided in hard copy)**
www.apsc.gov.au/publications07/wickedproblems.htm
- Brassard, Michael and Diane Ritter (1994) “Affinity Diagram” and “Cause and Effect/Fishbone Diagram” in *The Memory Jogger*, Salem, NH, Goal/QPC.
- Ledbury, M. et al. (2006) *Understanding Policy Options*, London, Home Office. ***
- Prime Minister’s Strategy Unit (2004) “Structuring the Thinking,” in *Strategy Survival Guide*, UK, pp. 90 – 112. ***
For full report, go online to:
<http://interactive.cabinetoffice.gov.uk/strategy/survivalguide/downloads/ssgv2.1.pdf>
- Schneider, A. and Ingram, H. (1990) “Behavioural Assumptions of Policy Tools,” *The Journal of Politics* 52(2): 510 – 529.

7. Case Study

- Padula, M. (2004) “The Australian Competition and Consumer Commission and Video Ezy,” Part A, The Australia and New Zealand School of Government Case Program. ***

Supporting Material (same as session 5 above)

8. Designing and Testing Solutions

- Baehler, K. (2002) “Intervention Logic,” *Public Sector* 25(3): 14 – 20.
- Prime Minister’s Strategy Unit (2004) “Appraising Options,” in *Strategy Survival Guide*, UK, pp. 168 – 180. ***

9. Formulating and Communicating Recommendations

- Musso, J. et al. (2000) “Tradecraft: Professional Writing as Problem Solving,” *Journal of Policy Analysis and Management* 19(4): 635 – 646. ***

10. Policy Implementation and Evaluation

- Bridgman, P. and G. Davis (2000) *The Australian Policy Handbook*, Crows Nest, Allen & Unwin, pp. 116 – 125.
- Duignan, P. (2001) “Approaches and Terminology in Programme and Policy Evaluation” in N. Lunt, C. Davidson and K. McKegg, *Evaluating Policy and Practice*, Pearson Education Ltd, New Zealand, pp. 77 – 90.

11. Emerging Frameworks

- Dawnay, E. and H. Shah (2005) *Behavioural Economics: Seven Principles for Policy-makers*, London, New Economics Foundation.
- Population-based Frameworks for Policy Analysis
 - Te Puni Kōkiri’s Policy Framework (see 2008 statement of intent): <http://www.tpk.govt.nz/en/in-print/our-publications/corporate-documents/statement-of-intent-2008-09/> ***
 - Ministry of Women’s Affairs’ Guide to “Gender Analysis”: http://www.mwa.govt.nz/news-and-pubs/publications/full_pict ***
- Social Capital
 - Tittensor, D. (2007) “Social Capital and Public Policy: The Current Challenge Facing the Victorian Government,” *Australian Journal of Public Administration* 66(4): 512 – 518.
 - Woolcock, Michael (2001) “The Place of Social Capital in Understanding Social and Economic Outcomes,” *ISUMA, Canadian Journal of Policy Research*, 2(1) Spring: 11 – 17. ***

12. Summary and Wrap-up

Assessment Requirements

<i>Assignment</i>	<i>Due Date</i>	<i>Weight</i>	<i>Guidelines</i>
Case Study Memo	Tues 10 March	30%	2,000 words max
Essay	Tues 5 May	30%	2,000 words max
Critique	Tues 23 June	40%	3,000 words max
Contribution to discussion	Ongoing	Considered at the margin	Balance of quality and appropriate quantity

Please submit all assignments by email attachment to sog-assignments@vuw.ac.nz and make sure to **keep a copy** of everything that you send. The assignments will be marked electronically, using the ‘track changes’ function in Word, and then returned by email. Please send your papers in a format that is compatible with Word (no pdf’s, thanks) and make sure that the university has a current email address for you on file. Indicate your document’s word length on the cover sheet of each assignment and don’t forget your name.

Assessment 1: Case Study Memo

Prepare a partial Bardach-style policy memo to inform key decision-makers involved in one of the case studies for Module 2 (see alphabetical allocations below). The memo should:

- Define the problem.
- Construct at least three options (in addition to the *status quo* or the ‘no change’ option) for government to consider.
- Select criteria for assessing the options and explain your selections.
- Discuss strategies for projecting outcomes (you need not do the actual projections).
- No policy recommendation is required because you are completing only a partial analysis.

This piece of assessment requires a bit of research. In addition to the ‘source materials’ for the cases (see session 5 above), you will want to locate and familiarise yourself with additional background information on one or more of the relevant topics of regulation, self-regulation, enforcement of regulation, environmental impacts of agriculture, consumer protection, pricing practices, etc. You should cite at least 3-4 high-quality additional sources beyond those listed in this course outline. There is no requirement to gather further information about the particular incidents described in the case studies, but please do so if you wish.

If your surname begins with A – M, you are assigned to the:

- Dairy case (see session 5)
- Decision-maker for purposes of this assessment: Minister for the Environment Marion Hobbs.

If your surname begins with N – Z, you are assigned to the:

- Video Ezy case (see session 7)
- Decision-maker for purposes of this assessment: ACCC Chairman Allan Fels.

The purpose of this exercise is to (1) deepen your understanding of the applied problem-solving model of policy analysis (Bardach’s version of a widely used paradigm) by employing that model to illuminate a real policymaking situation, (2) stimulate reflection on both the strengths and shortcomings of this approach based on direct experience, and (3) prepare for the case study exercises in the second module.

Assessment 2: Essay

Choose ONE of the emerging frameworks from session 11 – behavioural economics, social capital, or population-based policy frameworks – and discuss its implications for EACH OF THE THREE models of policy analysis and advising discussed in session 2. How might the existing models adapt to incorporate the insights from your chosen framework? If adaptation is impossible or unlikely, does a whole new model of policy analysis and advising need to be developed? What is the relevance of your chosen framework for New Zealand?

Feel free to draw upon other class readings and external sources alongside the core material from sessions 2 and 11.

The purpose of this exercise is to (1) review the range of models presented in the first module, (2) think creatively about how the models might adapt to emerging ideas, (3) explore changing paradigms in policy analysis and advising, and (4) prepare for the third module.

Assessment 3: Critique

Find a policy paper from a government department, think tank, or international organisation such as the OECD that uses policy analysis to generate advice for policymakers. Summarise the paper and its use of policy analysis, and critique it, using all of the following questions as a rough guide. Explain your points thoroughly. Refer to class readings where appropriate (other sources can be used as well). Support your arguments with theory and/or evidence.

- Does the paper’s general approach fit its purpose and context?
- Does it use appropriate analytical techniques and apply them correctly?

- Does the paper clarify and aid understanding of the policy issue?
- What kind of advice is being given in the paper? Does the analysis support that advice?
- What are the paper's key strengths and weaknesses?
- If this were a draft and you were asked to review it, what suggestions would you make to the author for improving the paper?

Please provide either a URL or other location information for the policy paper that you choose to critique. Those who are struggling to find papers might browse the Strategy Unit of the UK Cabinet Office: <http://www.cabinetoffice.gov.uk/strategy/> (click on 'publications').

This exercise works best if you choose a paper with which you are relatively unfamiliar. Please do **not** choose a paper that you have written or contributed to in any way.

The purpose of this exercise is to (1) bring all of the learning in PUBL 401 to bear on a real product of policy analysis, and (2) practice the craft of peer review.

Penalties

The ability to plan for and meet deadlines is a core competency of both advanced 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 may be deducted where assignments are submitted after the due date. For out of town students, two calendar days' grace is given to allow for time in the post.

If ill-health, family bereavement or other personal emergencies 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. Note that this applies only to extreme unforeseen circumstances and is not necessarily awarded. You should let your Course Co-ordinator know as soon as possible in advance of the deadline if you are seeking an extension.

Mandatory Course Requirements

To fulfil the mandatory course requirements for this course, you are required to:

1. Submit all assignments by the due date;
2. Attend all contact sessions of the course.

Communication of Additional Information

Additional information or information on changes will be conveyed to students by email.

Faculty of Commerce and Administration Offices

Railway West Wing (RWW) - FCA Student and Academic Services Office

The Faculty's Student and Academic Services Office is located on the ground and first floors of the Railway West Wing. The ground floor counter is the first point of contact for general enquiries and FCA forms. Student Administration Advisers are available to discuss course status and give further advice about FCA qualifications. To check for opening hours call the Student and Academic Services Office on (04) 463 5376.

Easterfield (EA) - FCA/Education/Law Kelburn Office

The Kelburn Campus Office for the Faculties of Commerce and Administration, Education and Law is situated in the Easterfield Building on the ground floor (EA005). This counter is the first point of contact for:

- Duty tutors for student contact and advice.
- Information concerning administrative and academic matters.
- Forms for FCA Student and Academic Services (e.g. application for academic transcripts, requests for degree audit, COP requests).
- Examinations-related information during the examination period.

To check for opening hours call the Student and Academic Services Office on (04) 463 5376.

Notice of Turnitin Use

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 identifies material that may have been copied from other sources including the Internet, books, journals, periodicals or the work of other students. Turnitin is used to assist academic staff in detecting misreferencing, misquotation, and the inclusion of unattributed material, which may be forms of cheating or plagiarism. *At the discretion of the School, handwritten work may be copy typed by the School and subject to checking by Turnitin.* You are strongly advised to check with your tutor or the course coordinator if you are uncertain about how to use and cite material from other sources. 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.

General University Policies and Statutes

Students should familiarise themselves with the University's policies and statutes, particularly the Assessment Statute, the Personal Courses of Study Statute, the Statute on Student Conduct and any statutes relating to the particular qualifications being studied; see the Victoria University Calendar or go to www.victoria.ac.nz/home/about/policy/students.aspx

For information on the following topics, go to the Faculty's website www.victoria.ac.nz/fca under Important Information for Students:

- Academic Grievances
- Academic Integrity and Plagiarism
- Student and Staff Conduct
- Meeting the Needs of Students with Impairments
- Student Support

Manaaki Pihipihinga Programme

Manaaki Pihipihinga is an academic mentoring programme for undergraduate Māori and Pacific students in the Faculties of Commerce and Administration, and Humanities and Social Sciences. Sessions are held at the Kelburn and Pipitea Campuses in the Mentoring Rooms, 14 Kelburn Parade (back courtyard), Room 109D, and Room 210, Level 2, Railway West Wing. There is also a Pacific Support Coordinator who assists Pacific students by linking them to the services and support they need while studying at Victoria. Another feature of the programme is a support network for Postgraduate students with links to Postgraduate workshops and activities around Campus.

For further information, or to register with the programme, email manaaki-pihipihinga-programme@vuw.ac.nz or phone (04) 463 6015. To contact the Pacific Support Coordinator, email pacific-support-coord@vuw.ac.nz or phone (04) 463 5842.