

School of Government

PUBL 401
CRAFT AND METHOD IN POLICY ANALYSIS

Trimester One 2011

COURSE OUTLINE

Names and Contact Details

Course Coordinator: **Dr. Valentina Dinica**
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Office Hours: 8.30am to 5.00pm, Monday to Friday

Trimester Dates:

Teaching Period: 7 March – 3 June 2011

Class Times and Room Numbers

Lectures: Wednesdays between 3.40pm and 5.30pm,
in the weeks of 7 - 28 March and 2 - 23 May, Room: RHG01.

Withdrawal from Courses:

- Your fees will be refunded if you withdraw from this course on or before 11th March 2011
- The standard last date for withdrawal from this course is 14th May 2011. 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.

Course Description

Contemporary policy challenges are increasingly complex, requiring governments to fine-tune policy interventions across a range of policy domains, governmental levels, public and private actors. The tools and methods available to policy analysts in mid-late 20th century are often unable to deal, on their own, with these ‘fine-tuning’ requirements and - more generally - with 21st century problems facing developed societies, in contexts shaped by globalization, security and sustainability problems, pervasive technological innovation, etc. The expanding policy challenge is likely to involve increasingly more private actors in what used to be ‘public sector sphere of competence’. A move from government/state sector to *governance* is now the dominant trend across most developed countries, especially when governments tend to become smaller, drawing on liberal political ideologies. This changes a lot the institutional, political, social, and even legal contexts in which policy analysts have to operate. This course will explore various innovative methods of policy analysis, in the context of various models of governance, and types of governance challenges. Numerous such methods involve a wide variety of stakeholders in the policy-making processes, such as citizens, businesses, community organizations, NGOs, industry associations, as well as scientists and technical experts. These methods are often referred to as ‘participatory policy analysis’ methods.

The increasing *complexity* of societal problems also puts pressure on methods’ innovation. Some innovative methods may be specific to certain policy areas, such as education policy-making, or health policy. As the time available for this course is limited, only a restricted number of policy areas may be explored. The issue of sustainable development can hardly be considered as ‘policy area’; actually, most academics see it as a rather innovative way of development, a new ideology and philosophy of how to govern development, so as to achieve economic, social and environmental goals across a wide range of ‘policy areas’. The second part of the course will explore some innovative methods of policy analysis, which emerged over the past two decades under the banner of sustainable development. Several sessions will be dedicated to a more applied type of policy analysis, looking at how certain methods can be applied in policy areas of relevance for New Zealand and the South Pacific: sustainable tourism, the diffusion of environmentally-friendly technologies, and adaptation to climate change. Therefore, this course integrates theoretical and applied perspectives of policy analysis, and will equip the student with the knowledge and skills needed to operate in challenging governance contexts, addressing complex policy problems that cut across policy domains and actors; such contexts are likely to be the rule rather than the exception of the operating environments of modern policy analysts.

Course Learning Objectives

The 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 governance contexts. It considers the role of analysts and of various private and public actors, and the value each policy-making participant

may create by providing information and analysis to support policy understanding and decision-making.

By the end of the course, participants will:

- (1) Understand the governance contexts and challenges facing policy analysis efforts on modern societies;
- (2) Understand the roles of policy analysts assumed in various methods of policy analysis, and how various other actors may contribute to good policy advice;
- (3) Appreciate the importance of undertaking policy analysis tasks holistically, drawing on a variety of methods, and designing 'applied analysis' to suit specific governance and policy contexts;
- (4) Have a good appreciation of how to select and match policy analysis methods to the types of policy objectives or policy problems they have to address, and
- (5) Demonstrate skills in analytic reasoning and communication.

Course Delivery

This course will be delivered in two blocks of lectures and will include one session of group work to be carried out by students, without supervision. The sessions of the course are presented below.

Part 1: Policy analysis – contexts and methods

Session 1: 9 March

Governance and innovative policy analysis: traditional policy analysis and post-positivist innovations to meet 21st century policy problems; social goals and the democratization of policy making processes

Topic 1: Policy analysis in the context of democratic governance and social goals

Readings:

- Hajer M. and H. Wagenaar. (2003). "Introduction", in *Deliberative Policy Analysis: Understanding Governance in the Network Society*. UK. pp. 5-31.
- Mitchell, R.K., Bradley, R.A, and Donna, J.W. (1997). "Towards a Theory of Stakeholder Identification and Salience: Defining the Principle of Who and What Really Counts", in *The Academy of Management Review* 22 (4): 853-886.

Supplementary readings:

- Hawkesworth, M.E. (1992). "Epistemology and Policy Analysis", in *Advances in Policy Studies since 1950*. Transaction Publishers. pp. 295-325.

Topic 2: Models of governance structures. Policy analysis in the context of governance challenges: complexity, uncertainty and power distribution issues.

Readings:

- Underdahl, A. (2010). "Complexity and Challenges for Long-term Environmental Governance", in *Global Environmental Change* 20: 386-393.

- Meadowcroft, J. (2007). “Who Is in Charge Here? Governance for Sustainable Development in a Complex World”, in *Journal of Environmental Policy and Planning* 9(3): 299-314.

Supplementary readings

- Bardach, E. (1995) *Policy Analysis: A Handbook for Practice*, Electronic Hallway. Pp. 1-29.
- Hisschemöller, M. and R. Hoppe (1996). “Coping with Intractable Controversies: The Case for Problem Structuring in Policy Design and Analysis”, in *Knowledge and Policy* 8: 40 – 60.

Session 2: 16 March

Methods of Participatory Policy Analysis

Topic 1: A framework for mapping methods and typologies.

Readings

- Arnstein, S. (1967). A Ladder of Citizen Participation., *AIP Journal* pp. 216-224
- Connor, D.M. (1988). “A New Ladder of Citizen Participation”, in *National Civic Review*, pp. 249-257.
- Idaho Transportation Department. “Guide to Public Involvement for Programs Planning and Projects”. Pp. 22-29
- Enriquez, F. (1996). “Facilitation: What It Is and When It Is Used?”. Available online at <http://home.nps.gov/applications/redirect/?sUrl=http://www.rurdev.usda.gov/ocd/tn/tn4.pdf>
- Appendix “Tools and techniques”, in *Public Involvement Handbook*. US. Available online at: http://www.dot.state.fl.us/emo/pubs/public_involvement/Appendix%20A%20Tools%20&%20Techniques.pdf
- Abelson, J., Forest, P.G., Eyles, J., Smith, P., Martin, E. and Gauvin, F-P. (2001). “A Review of Public Participation and Consultation Methods”, in *Deliberations about Deliberation: Issues in the Design and Evaluation of Public Consultation Processes*, McMaster University Centre for Health Economics and Policy Analysis Research Working Paper 01-04, June 2001.

Supplementary readings:

- Durning, D. (1993). “Participatory Policy Analysis in a Social Service Agency: A Case Study”, in *Journal of Policy Analysis and Management*, 12(2): 297-322.

Topic 2: PPA contributions to policy analysis activities/stages.

Readings: same as above

Session 3: 23 March

Strategies and criteria for matching PPA methods to types of policy objectives / problems.

Readings:

- Glass J.J. (1979). “Citizen Participation in Planning: the Relationship between Objectives and Techniques”, in *Journal of the American Planning Association* 45: 180-189.

- Rowe G. and L.J. Frewer. (2005). “A Typology of Public Engagement Mechanisms”, in *Science Technology and Human Values* 30: 251-290.

Session 4: 30 March

Participatory analysis in New Zealand

Topic 1: Participatory requirements in New Zealand.

Readings:

- Ministry for the Environment. Requirements to consult in NZ *Quality Planning*. Pp. 1-17
- Government of New Zealand. (2010). *Government Commitment to Building Strong Community Relationships*. Wellington. Pp. 1-16
- State Services Commission. “Public participation”. Source: <http://www.ssc.govt.nz>. Pp. 1-12

Topic 2: Maori experiences with public consultation

Readings:

- Margaret Mutu. (2002). “Barriers to Tangata Whenua Participation in Resource Management”. In *Whenua*, ed. M. Kawharu. Reed. New Zealand. pp. 75-95.

April: Group work on Guidelines for Application of PPAs in New Zealand

Student group work, 2 hours. Time to be agreed among students. More information will be delivered during Session 4. Participation in this group work is mandatory.

Readings:

- Group Work – Case Study Becoming Disaffected through Poor Participation and Consultation
- “Legal Considerations of Public Participation”, in Public Participation and Consultation within the RMA, Local Authorities Upskilling Project. Pp. 25-35
- Allen, W. (2002). Section 6 “Building Group Capacity for Environmental Change”, in *Using Participatory and Learning-based Approaches for Environmental Management to Help Achieve Constructive Behaviour Change*. Landcare Research Project. Pp. 37-47. Wellington.

Part II: Applied policy analysis

Session 5: 4 May

This session will start with a 30 min report by the students on the group work regarding the application of PPAs in New Zealand. This is followed by a lecture on:

Methods of policy analysis for sustainable development

Readings:

- Runhaar, H., C. Dieperink, P. Driessen (2006). “Policy analysis for sustainable development. Complexities and methodological responses”, in the *International Journal of Sustainability in Higher Education* Vol. 7 No. 1, 2006 pp. 34-56

- Glasbergen, P. and R. Smits (2003.). “The policy laboratory for sustainable development - A new learning context for environmental scientists”, in the *International Journal of Sustainability in Higher Education* 4(1): 57-74.
- Hisschemoller M., R.S.J. Tol and P. Vellinga. (2001). “The relevance of participatory approaches in integrated environmental assessment”, in *Integrated Assessment* 2: 57-72.

Session 6: 11 May

Policy design for sustainable tourism development: the importance of policy coordination and planned synergies

Readings:

- United Nations Environmental Programme and World Tourism Organization. (2005), Chapter 3 “Structures and strategies”, in *Making Tourism More Sustainable – A Guide for Policy Makers*. Madrid. Pp. 49-57.
- United Nations Environmental Programme and World Tourism Organization. (2005), Chapter 5 “Instruments for more sustainable tourism”, in *Making Tourism More Sustainable – A Guide for Policy Makers*. Madrid. Pp. 71-113.
- Stephen J. Page; Kaye Thorn. (2010). “Towards Sustainable Tourism Development and Planning in New Zealand: The Public Sector Response Revisited”, in *Journal of Sustainable Tourism* 10(3): 222-238.

Session 7: 18 May

Policy design using an investor perspective: the diffusion of environmentally-friendly technologies

Readings:

- Janicke M, and S. Lindemann. (2010). “Governing Environmental Innovations”, in *Environmental Politics* 19(1): 127-141.
- Ackermann, T., Andersson, G., Soder, L., 2001. “Overview of Government and Market Driven Programs for the Promotion of Renewable Power Generation”, in *Renewable Energy* 22, 197–204.
- Dinica, V. (2006). “Support Systems for the Diffusion of Renewable Energy Technologies – an investor perspective”, in *Energy Policy*, 34(4), 461-480.

Session 8: 25 May

Policy interventions based on the precautionary principle: adaptation to climate change

Readings

- Klinke, A, M. Dreyer, O. Renn, A. Stirling; .P van Zwanenberg. (2006). “Precautionary Risk Regulation in European Governance’, in *Journal of Risk Research* 9(4): 373–392
- New Zealand Government. (2008). "[Preparing for climate change: A guide for local government in New Zealand](#)". Wellington. Pp 16-38.
- New Zealand Government. (2004). "[Coastal hazards and climate change: a guidance manual for local government in New Zealand](#)" Wellington. PP. 41-45; 60-76

Expected Workload

The learning objectives set for each course are demanding and, to achieve them, students 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 120 hours, including lectures and group work.

Assessment Requirements

Each part will be followed by an assignment as summarized in the table below.

Assignments	Weight	Due Date	Recommended word length
1) Essay	45%	8 April	2,700 words
2) Policy analysis report based on a policy problem	45%	3 June	2,700 words
Participation in class activities	10%	ongoing	n/a

There is no final exam for this course.

General Notes for Assignments

The assignments will be distributed and discussed in class during Sessions 2 (for Assignment 1) and Session 6 (for Assignment 2). Following that they will also be posted on Blackboard. Assignments are always due by 5pm on the date specified. These will be marked electronically, using the 'track changes' function in Word, so you should send your papers in a format that allows this (no pdf's, thanks).

Note that all assignments are to be submitted to the Course Coordinator BY EMAIL attachment to valentina.dinica@vuw.ac.nz. Please **indicate the word count and your name** on the cover sheet.

Extension 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.

Note 1: Students are required to complete a statement to accompany each 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.

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 FCA programmes. All material used for such processes will be treated as confidential, and the outcome will not affect your grade for the course.

Class Attendance

You must attend at least 50% of the lectures, participate in the group work, and receive a final grade of 50% or above to pass this course. If you become aware after the course starts that you will be unable to attend 50% of the lectures or the group work, you must advise the course coordinator, explaining why you will be unable to attend. The course coordinator may excuse you from attendance and may also require you to complete compensatory work relating to the course content covered during your absence.

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 five per cent (of the final 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 Monday when it was due the previous Friday, you will get a mark of 50%. A written assignment that exceeds the word limit by more than 200 words will be penalised by 5%.

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.

Mandatory Course Requirements

You must **submit all written assignments**, and receive a final grade of **50 or above** to pass this course.

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 may also be used for such announcements and for course-related materials. The Course Coordinator is available for consultations between 2.30pm and 3.20pm on Wednesdays during term time, in person or by telephone at 463 5711. Queries may be sent to the Course Co-ordinator by email at valentina.dinica@vuw.ac.nz

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.

For the following important information follow the links provided:

Academic Integrity and Plagiarism

<http://www.victoria.ac.nz/home/study/plagiarism.aspx>

General University Policies and Statutes

Find key dates, explanations of grades and other useful information at www.victoria.ac.nz/home/study

Find out about academic progress and restricted enrolment at www.victoria.ac.nz/home/study/academic-progress

The University's statutes and policies are available at www.victoria.ac.nz/home/about/policy except qualification statutes, which are available via the Calendar webpage at www.victoria.ac.nz/home/study/calendar (See Section C.)

Further information about the University's academic processes can be found on the website of the Assistant Vice Chancellor (Academic) at www.victoria.ac.nz/home/about_victoria/avcademic/default.aspx

AVC (Academic) Website: information including: Conduct, Academic Grievances, Students with Impairments, Student Support
http://www.victoria.ac.nz/home/about_victoria/avcademic/Publications.aspx

Faculty of Commerce and Administration Offices
<http://www.victoria.ac.nz/fca/studenthelp/>

Manaaki Pihipihinga Programme
http://www.victoria.ac.nz/st_services/mentoring/

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 Coordinator/Tutor/Supervisor _____

Due Date _____

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: _____