

School of Government

**PUBL 202/POLS 235**  
**INSTITUTIONS AND THE POLICY PROCESS**

Trimester Two 2011

**COURSE OUTLINE**

---

**Course Coordinator:** Dr John Wilson

**Phone:** (04) 817 9358 (Parliament)  
**Email:** John.Wilson@vuw.ac.nz  
John.Wilson@parliament.govt.nz

**Administrator:** Kerry Pert  
**Room:** Rutherford House Level 8, Room 821, Pipitea Campus  
**Phone:** (04) 463 6599  
**Email:** Kerry.Pert@vuw.ac.nz

**Trimester Dates**

Teaching Period: Monday 11 July to Friday 14 October 2011  
Mid-trimester Break: Monday 22 August to Sunday 4 September 2011  
Study Period: Monday 17 October to Thursday 20 October 2011  
Examination Period: Friday 21 October to Saturday 12 November 2011 (inclusive)

**Note: Students who enrol in courses with examinations are obliged to attend an examination at the University at any time during the formal examination period.**

**The final examination for this course will be scheduled at some time during the period from Friday 21 October – Saturday 12 November.**

**Withdrawal from Course**

Your fees will be refunded if you withdraw from this course on or before **22 July 2011**.

The standard last date for withdrawal from this course is **Friday 23 September**. After this date, students forced to withdraw by circumstances beyond their control must apply for permission on an 'Application for Associate Dean's Permission to Withdraw Late' including supporting documentation.

The application form is available from either of the Faculty's Student Customer Service Desks.

### **Class Times and Room Numbers**

<b>Lectures:</b>	<b>Tutorials:</b>
Monday, 2.10 – 3.00pm, HMLT104 Friday, 2.10 – 3.00pm, HMLT104	Monday, 1.10 – 2.00pm, VZ101 Monday, 3.10 – 4.00pm, VZ101 Friday, 1.10 – 2.00pm, VZ101 Friday, 3.10 – 4.00pm, VZ101

### **Course Content**

The course is in two parts, separated by the mid-trimester break (22 August to 4 September).

#### **Part 1**

The first part examines the framework of the New Zealand system of government, including the constitutional and parliamentary frameworks, and the institutional makeup of the contemporary state sector.

The focus then shifts to an examination of theories and models of bureaucratic reform and an analysis of the historical evolution of the state sector during the twentieth century.

We then proceed to an exploration of the changes to the state sector introduced by the fourth Labour Government in the mid-1980s (including the ideas and theories that informed those changes), and the principal institutional and machinery of government reforms that resulted (including the State-Owned Enterprises Act 1986, the State Sector Act 1988 and the Public Finance Act 1989).

Following an assessment of the changes to the state sector the focus shifts to more recent reforms and in particular to those in the period following the formation of the Labour-led Coalition Government in 1999. The first part of the course will conclude by reflecting on some of the key challenges facing the New Zealand system of public administration in 2011 and in the immediate future.

The first part of the course will be assessed primarily through a written assignment due immediately before the mid-trimester break.

#### **Part 2**

The second part of the course examines a number of key topics in public administration and policy, with a particular focus on the institutional context for policymaking, implementation, evaluation and review. Topics will include the tension between political and bureaucratic imperatives and the 'risks' associated with politicisation; some illustrative case studies of institutions and the policy process; ethics and ethos; and consideration of the challenges of biculturalism and cultural pluralism.

The course will close by examining the distinction between government and governance, and the impact of different structures and processes of governance on institutions and the policy process.

This is a course which seeks to engage with contemporary, real-time events in the world of politics and public administration. Informally we will be referring to those events on an ongoing basis. If they are sufficiently significant there is sufficient flexibility in the structure of the course to focus on them in some detail.

The second part of the course will be assessed through a second written assignment due towards the end of the trimester, and through a final examination.

See the lecture schedule at the end of this outline for lecture topics and readings.

### Course Learning Objectives

This course provides an introduction to the field of public administration and management in New Zealand, focusing on the nature and role of the institutions that comprise the executive branch of government. A broad definition of public administration is the study of “the executive branch of government including all matters of concern within itself, all matters which impinge on it and all matters on which it impinges” R. Adie and P. Thomas (1982), *Canadian Public Administration*, PrenticeHall Canada Inc., p. 2 (emphasis added.)

<b>Course Objectives:</b> By the end of this course, students should be able to:		<b>Major Attributes</b>
1	Describe the main features of the New Zealand system of government and explain the specific role and contribution of the state sector.	MA 2
2	Describe the constitutional and historical context for contemporary public administration in New Zealand.	MA 13
3	Summarise the principal theoretical approaches to the role of the state, and show how these relate to the New Zealand system of government.	MA 4
4	Describe the influence of theory and ideology in the context of New Zealand’s state sector reforms in the period from 1985 to 1995.	MA 2
5	Compare and contrast the trajectory of state sector reform in the 1980s and 1990s with contemporary developments in state sector and public administration reform.	MA 2
6	Illustrate the importance of political neutrality in the context of New Zealand public administration and assess challenges to political neutrality (politicisation).	MA 2
7	Summarise the relevance of ethics in the context of both the institutional and personal dimensions of public administration and public service.	MA 12
8	Explain the relevance of the Treaty of Waitangi and the significance of biculturalism and multiculturalism for public administration in New Zealand.	MA 13

<b>Major Attributes: PUBL majors will be able to</b>	
MA1	Judge the defining features of good policy analysis and advice and appraise how they are best produced
MA2	Demonstrate an understanding of the influence of political ideas and philosophies, and of constitutional and political institutions on public policy
MA3	Demonstrate an understanding of the contribution of quantitative and qualitative methods in policy analysis
MA4	Identify the nature and respective roles of state and civil society in the development, implementation and evaluation of public policy, and demonstrate an understanding of the distinction between government and governance
MA5	Appraise different disciplinary contributions to the development, implementation and evaluation of public policy
MA6	Judge the relevance and importance of evidence in policymaking
MA7	Apply the comparative method to policy analysis, and identify insights that might be drawn from other policy jurisdictions
MA8	Judge and articulate the relevant criteria that might be used in assessing the advantages and disadvantages of particular policy options
MA9	Analyse complex policy issues from multiple perspectives and identify opportunities for innovation
MA10	Express ideas succinctly and persuasively both in written form and orally
MA11	Construct and articulate rationales for public policy intervention
MA12	Demonstrate an understanding of the significance of ethics and accountability in the study and practice of public policy
MA13	Interpret the significance of the Treaty of Waitangi (Te Tiriti o Waitangi) in the study and practice of public policy in New Zealand

### **Course Delivery**

The course will be delivered through two 50-minute lectures and one 50-minute tutorial per week. The tutorials are based on the lecture material and take the format of general discussion structured around several set questions. Students are expected to be able to answer the tutorial questions based on the assigned reading and to participate in the general discussion.

### **Tutorials**

Attendance at no fewer than eight of the scheduled 11 tutorial sessions is part of the Mandatory Course Requirements. Students are strongly encouraged to attend all tutorials. If students are, for very good reason, unable to attend their regular tutorial, they may attend another one in the same week. They should ensure that both their regular tutor and the tutor at the substitute tutorial have recorded their attendance.

Tutorials will not start until the second week, but will be arranged in the first lecture. Depending on the class size, not all of the tutorials listed above may be offered. There is a maximum of 16 students per tutorial class so if the list is full, please do not add your name to the bottom. Confirmation of your tutorial group will be posted on Blackboard. If you have any serious problems about the allocations please contact Dr Wilson.

The tutorial topic schedule and questions will be posted on Blackboard in the first week.

## Expected Workload

Students are expected to undertake on average about ten hours of study per week, including course contact hours. Since there are three course contact hours for this course, about seven hours per week of additional study should be undertaken for this course.

## Readings

The recommended textbook for this course is: Richard Shaw and Chris Eichbaum, 2011, *Public Policy in New Zealand: Institutions, Processes and Outcomes*, 3<sup>rd</sup> ed., Auckland: Pearson/Prentice Hall. The third edition includes an extra chapter – on Governance – and some case study and other information has been updated from the second (2008) edition.

Students will NOT be required to purchase a set of course readings from the Student Notes Distribution Centre. The textbook will be supplemented by readings (see lecture schedule) that will be posted to Blackboard from time to time.

Students wishing to undertake general reading before or during the course may find the following of assistance:

Jonathan Boston, John Martin, June Pallot and Pat Walsh, 1996, *Public Management: The New Zealand Model*, Oxford University Press, Auckland.

Raymond Miller (ed.), 2010, *New Zealand Government and Politics* (5<sup>th</sup> Edition), Oxford University Press, Auckland.

Geoffrey Palmer and Matthew Palmer, 2004, *Bridled Power: New Zealand's Constitution and Government* (Fourth Edition), Oxford University Press, Auckland.

Richard Mulgan and Peter Aimer, 2004, *Politics in New Zealand* (Fourth Edition), Auckland University Press, Auckland.

Graham Scott, 2001, *Public Management in New Zealand: Lessons and Challenges*, NZ Business Roundtable, Wellington.

There are a number of useful internet sites that you should bookmark, including, for a start:

New Zealand Government <http://www.beehive.govt.nz/>

New Zealand Parliament <http://www.parliament.nz/en-NZ>

Office of the Controller and Auditor General <http://www.oag.govt.nz/>

Office of the Ombudsmen <http://www.ombudsmen.govt.nz/>

New Zealand State Services Commission [www.ssc.govt.nz](http://www.ssc.govt.nz)

New Zealand Cabinet Office [www.dpmmc.govt.nz](http://www.dpmmc.govt.nz)

New Zealand Treasury [www.treasury.govt.nz](http://www.treasury.govt.nz)

## Assessment Requirements

ASSESSMENT	DUE DATE	WEIGHT
1 <sup>st</sup> Essay (2,000 words)	Friday 19 August	25%
2 <sup>nd</sup> Essay (2,000 words)	Friday 7 October	25%
Final exam	( <i>exam timetable tba</i> )	50%

The first essay topics are at the end of this course outline and will be discussed in tutorials.

## Assignments

Assignments should be submitted via hard copy to the secure box at School of Government reception (8<sup>th</sup> floor Rutherford House) during the office hours, which are 8.30 am – 5.00 pm. The assignment box is cleared daily, and assignments will be date stamped. Students should keep a secure copy of all assignments (i.e. hard copy and e-file).

**Please do not try to submit your essays in any other way. They will not be accepted.**

*Note: 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.*

## Examinations

Advice on the structure and content of the examination will be provided towards the end of the trimester. It is probable that the 2011 examination will be similar in structure to that used in previous years – that is, 3 essay-style questions in 3 hours.

Students who enrol in courses with examinations are obliged to attend an examination at the University at any time during the formal examination period.

The final examination for this course will be scheduled at some time during the period from Friday 21 October to Saturday 21 November 2011 (inclusive).

## Extensions and Penalties

- ▶ Extensions beyond the due dates for essays will be granted only to those who meet the University's aegrotat rules, i.e. a medical certificate, personal bereavement, or critical personal circumstances beyond your control. If you are having troubles let your tutor or Dr Wilson know – confidentiality is guaranteed.
- ▶ NB that requests for extensions must be received before the due date of an assignment.
- ▶ Late essays must be submitted to School of Government reception.
- ▶ Essays not handed in by the due date or by the date of an agreed extension may have their mark out of 100 reduced by 5 percentage points for each day the essay was late.
- ▶ Essays handed in more than 5 days late after due date or after the date of an extension may not be accepted.

## **Mandatory Course Requirements**

1. Attendance at no fewer than eight of the scheduled 11 tutorial sessions (you are strongly encouraged to attend all tutorials).
2. Submission of all written assignments, by the due dates.
3. Sit the course examination.

Students who fail to satisfy the mandatory requirements for passing this course, other than the requirement to obtain a C grade overall, will not receive a graded result, and their records will show a “K” (fail due to not satisfying mandatory course requirements, even though the student's course requirements reached the level specified for a pass).

**To pass PUBL 202/POLS 235 a student must meet the mandatory course requirements and achieve at least a total of 50% over all the assessment.**

## **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 students.

## **Communication of Additional Information**

Notices and course materials relating to lectures, tutorials – including PowerPoint slides used in lectures – will be posted on the Blackboard website. Only students who are registered for PUBL 202/POLS 235 will have access.

## **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](http://www.victoria.ac.nz/home/about/policy/students.aspx)). You could fail your course or even be suspended from the University.

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](http://www.victoria.ac.nz/home/study)

Find out about academic progress and restricted enrolment at <http://www.victoria.ac.nz/home/study/academic-progress.aspx>

The University's statutes and policies are available at [www.victoria.ac.nz/home/about/policy](http://www.victoria.ac.nz/home/about/policy), except qualification statutes, which are available via the Calendar webpage at <http://www.victoria.ac.nz/home/study/calendar.aspx> (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/avcacademic/default.aspx](http://www.victoria.ac.nz/home/about_victoria/avcacademic/default.aspx)

**AVC (Academic) Website: information including: Conduct, Academic Grievances, Students with Impairments, Student Support**

[http://www.victoria.ac.nz/home/about\\_victoria/avcacademic/Publications.aspx](http://www.victoria.ac.nz/home/about_victoria/avcacademic/Publications.aspx)

**Faculty of Commerce and Administration Offices**

<http://www.victoria.ac.nz/fca/studenthelp/>

**Te Putahi Atawhai**

**Maori and Pacific Mentoring Programme**

[http://www.victoria.ac.nz/st\\_services/tpa/index.aspx](http://www.victoria.ac.nz/st_services/tpa/index.aspx)



## **PUBL 202 / POLS 235 – First Essay Questions – 2011**

(2000 words; 25% of final mark -- due 5pm, Friday 19 August)

1. In countries with codified (entrenched) constitutions judges act as the guardians of the constitution. Describe New Zealand's constitutional position and its features. What are the main advantages and disadvantages of New Zealand's position for the policy process in New Zealand? Use examples to illustrate your answer.
2. Richard Mulgan has described New Zealand in the past as "an elective dictatorship". What does he mean, and to what extent do the reforms implemented since 1984 – to the public sector, the electoral system, and other institutions – suggest his conclusion needs revising?
3. Neo-liberal, public choice and new public management theories are some of the key economic interpretations of political and bureaucratic behaviour. How did they inform the reforms made to the New Zealand state sector in the 1980s and 1990s, and what examples illustrate the advantages and disadvantages of such approaches?
4. The 2001 Advisory Group on the Review of the Centre concluded that "the public management system as it stands today provides a reasonable platform to work from but some significant shifts in emphasis are needed to better respond to the needs of the future." What do you consider to be the main strengths and weaknesses of the New Zealand state sector reforms of the 1980s and early 1990s (i.e. reforms initiated over the period from 1984 – 1994), and to what extent have the weaknesses that you identify (if any) been addressed in the period since 1994? Use examples to illustrate your argument.
5. "On top of the greater efficiency [in the public sector] achieved in the earlier generation of reforms have come changes aimed at increasing its capacity to contribute to strategies for active government and policy leadership. These changes also aim to increase trust and confidence in government processes and services" (Rt Hon Helen Clark, Paterson Oration 2004, 28 June). Summarise and critically review the public sector changes initiated since 2000, and the extent to which the public sector today differs from the 1990s "model".
6. In a 2009 speech the Secretary of the Treasury Mr Whitehead defined a more managerial approach for chief executives in the public sector as being "clear about goals, thinking about the customer, organising to deliver the right outcomes, getting the best price, producing the right quantities and standards and being explicit about the trade-offs involved in decisions." To what extent do the public sector reforms initiated since 2008 reflect Whitehead's vision of a more managerial approach? Discuss some of the advantages and disadvantages of a more managerial approach. Use examples to illustrate your answer.

<b>PUBL 202 / POLS 235 – LECTURE SCHEDULE &amp; READINGS (2011)</b>		
<b>Date</b>	<b>Lecture Topics</b>	<b>Readings / Hyperlinks</b>
<b>Week 1</b>	<b>Introduction – The Institutional framework</b>	Shaw & Eichbaum Ch. 1, 2 & 3;
Mon 11 July	Introductory class – institutions, public policy and the policy process	<a href="#">McSoriley (2000); Constitutional Arrangements</a>
Fri 15 July	Sovereignty and the constitution – evolution, features, role	<a href="#">Committee</a> (pp 82 - 119).
<b>Week 2</b>	<b>The Parliamentary Framework</b>	
Mon 18 July	Westminster systems – comparing checks and balances	Shaw & Eichbaum Ch. 4 & 5 <a href="#">Role of Parliament</a>
Fri 22 July	The executive branch in NZ: An elective dictatorship?	<a href="#">The Legislative Process</a>
<b>Week 3</b>	<b>Historical &amp; Theoretical Perspectives I</b>	
Mon 25 July	The state and public administration before 1984	Mascarenhas 2003; Toye, 2006;
Fri 29 July	Theoretical perspectives underpinning public administration before 1984	Thorns & Sedgwick 1997; Mulgan 1997
<b>Week 4</b>	<b>Historical &amp; Theoretical Perspectives II</b>	
Mon 1 August	The state and public administration in NZ after 1984	Pollitt & Bouckaert 2004; Blum 2009;
Fri 5 August	Theoretical perspectives underpinning public administration after 1984	Schwartz, 1994; Boston et al, 1996
<b>Week 5</b>	<b>NZ 1984-1999: Revolutionary Institutional Change</b>	
Mon 8 August	Legislating for ‘responsiveness’	Petrie & Webber 2006; Boston & Eichbaum;
Fri 12 August	Evaluating the NZ reforms of 1984-1999	Gregory 2007; Halligan 2007; Mulgan 2003
<b>Week 6</b>	<b>NZ 2000-2011: Incremental Institutional Change</b>	
Mon 15 August	The Labour Administration 1999-2008: From ‘responsiveness’ to ‘performance’	<a href="#">Review of the Centre, 2002</a> ; Whitcombe 2008; Bourgon, 2007;
Fri 19 August	The National Administration 2008-2011: From ‘performance’ to ‘value for money’	SSC 2010a; Whitehead 2009
	<b>1<sup>st</sup> Assignment due (19 August)</b>	

<b>Mon 22 Aug – Sun 4 Sept</b>		<b>Mid Trimester Break</b>
<b>Week 7</b>	<b>The Policy Process and Politicisation</b>	
Mon 5 September	Politicisation I: Types of Politicisation	Shaw & Eichbaum, Ch. 10; Mulgan, 1998;
Fri 9 September	Politicisation II: Political Advisers	Eichbaum & Shaw, 2009; SSC 2010b
<b>Week 8</b>	<b>The Policy Process and Ethics</b>	
Mon 12 September	Ethics I: The Public Interest	Martin 1994; Mulgan 2000;
Fri 16 September	Ethics II: The Ethics Infrastructure	James 2003; Davis, 2009.
<b>Week 9</b>	<b>Policy Case Studies</b>	
Mon 19 September	Biculturalism vs. multiculturalism	Durie 2003; <a href="#">Wilson 2009</a> ; Hayward 2006;
Fri 23 September	Maori & Public Policy: From Closing the Gaps to Whānau Ora	Sullivan 2006
<b>Week 10</b>	<b>Policy Case Studies</b>	
Mon 26 September	Tertiary Education Policy	Shaw & Eichbaum Ch. 14; <a href="#">Mahoney 2003</a> ;
Fri 30 September	Environment Policy: Clean and Green?	Buhrs, 2006; Furuseh & Cocklin, 1995
<b>Week 11</b>	<b>Policy Case Studies</b>	
Mon 3 October	Energy Policy: Peak Oil	Wilson, 2006; UK Industry Taskforce, 2008;
Fri 7 October	Governance 1: The Policy Process Revisited	Shaw & Eichbaum Ch. 16; Loffler, 2009
<b>Fri 7 October</b>	<b>2<sup>nd</sup> Assignment due (7 October)</b>	
<b>Week 12</b>	<b>Course Conclusion</b>	
Mon 10 October	Governance II: Models of governance	Pierre & Peters, 2000; Public Sector, 2009;
Fri 14 October	Revision class / Exam briefing / Evaluation	Previous exam papers