

School of Government

PUBL 401
CRAFT AND METHOD IN POLICY ANALYSIS

Trimester 1, 2014

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

Monday 4 March – Friday 7 June

Withdrawal from Course

1. Your fees will be refunded if you withdraw from this course on or before Friday 14 March 2014.
2. The standard last date for withdrawal from this course is Friday 16 May 2014. 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

Lectures will be delivered as 2 hour sessions on Mondays, 2.40 - 4.30 pm in RWW 125 (Railway Station Wing, Pipitea Campus) in the following days: March 3, 10, 17, 24, 31; April 7 and 14, and May 12. There is a 3 hour Independent Group Work scheduled for 5 May in RWW 125.

Course Description

Contemporary policy challenges are increasingly complex. They are often riddled with scientific uncertainties, and are affected by multi-stakeholder conflicts of interest and values. New policy-making principles, strategies and methods have become available to policy analysts in mid-late 20th century to deal with such ‘wicked’ policy problems. Most of them are underpinned by a new philosophy of policy-making and governance, which argues in favour of more effective citizen and stakeholder engagement. The application of the new policy methods requires analysts, advisors and public sector managers to take on new policy roles, beyond the traditional expectation of delivering objective, ‘value-free’ advice. Facilitation and conflict mediation are among the most frequently discussed new roles in the theoretical and empirical public policy literature. In this course, a wide diversity of interactive teaching methods will be applied, such as group work, case studies and role-play/simulations, aiming to help students acquire such desirable new skills. The course integrates theoretical and applied perspectives to policy analysis, aiming to familiarize students with challenging governance contexts, and to offer insights on how to tackle multi-disciplinary policy problems that cut across policy domains and actors.

Course Learning Objectives

The course examines critically how policy analysts apply different methods, theories, and substantive knowledge to problems and opportunities, to support economic, social, environmental and cultural outcomes. By the end of the course, participants will:

- (1) Understand the challenges of policy design facing policy analysis efforts in modern societies;
- (2) Understand how to design and manage participatory/collaborative processes and methods of policy-making and policy implementation;
- (3) Have a good insight into the strategies and methods available to advisors for dealing with scientific uncertainties and complexities in policy processes, and how various actors may contribute to good policy advice;
- (4) Have an understanding of the skills and strategies required for the facilitation of multi-stakeholder, collaborative policy processes and the resolution of conflicts in policy setting; and
- (5) Demonstrate skills in analytic reasoning and communication, both orally and in written.

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 are presented below.

Supplementary readings. These readings are mandatory for the students who did not attend PUBL 306 in 2010-2013. Lectures, class discussions and group interactions are designed based on the assumption that all students are familiar with these basic readings. I recommend that students read the articles in the order mentioned below. Article (A) gives a general overview of the contemporary challenges to the policy analysis discipline. These are further examined by Fisher (1998). In between, it would be good to read how traditional/positivist policy analysis looks like by reading either the work of Bardach (1995), or that of Brown (no date). The ‘stages’ they mention can, nevertheless, be seen as fundamental activities of policy analysis that can be carried out together with citizens and stakeholders (implying a post-positivist approach). Mayer et al. (2004) give a good overview of the various new roles that policy analysts and public sector

managers have already started to perform by the end of the 20th century. Articles (F) and (G) offer some typologies that are fundamental for the design of this course, including group interaction activities. The students who have previously taken the PUBL 306 class are strongly encouraged to revisit these articles. The material is available in the Blackboard folder Supplementary Readings.

- (A) Smith, K.B. and C.W. Larimer (2009). Chapter 5 “What should we do? The field of policy analysis”, in *The Public Policy Theory Primer*, pp. 101 – 128.
- (B) Bardach, E. (1995) *Policy Analysis: A Handbook for Practice*, Electronic Hallway and/or
- (C) Brown, T. (no date). “Basic Policy Analysis”. Pp. 1 -18. Seminar paper available at <http://www.iupdp.org/index.php/seminars/195-121997>
- (D) Fisher, F. (1998). “Beyond empiricism: Policy inquiry in post-positivist perspective”, in *Policy Studies Journal*, 26(1):129-146.
- (E) Mayer, I., C.E. van Daalen and P. Bots. (2004). “Perspectives on policy analyses: A framework for understanding and design”, in *Journal of Technology, Policy and Management*, 4(2):169 – 191.
- (F) 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.
- (G) Verdung, E. (1998). “Policy instruments: typologies and instruments”, in *Carrots Sticks and Sermons – Policy Instruments and Their Evaluation*, Eds. M.L. Belemans-Videc, C.L. Rist and E. Verdung. Transaction Publishers. Pp. 21-55.

Session 1: Policy processes, policy problems and policy instruments: a short overview. Participatory/collaborative approaches to policy-making (3 March 2014).

Readings:

- (A) Head, B.W. (2008). “Wicked problems in public policy”, in *Public Policy* 3(2):101-118.
- (B) Bingham, L.B. (2012). “Collaborative Governance” in *SAGE Handbook of Governance*.
- (C) McLaverty, P. (2012). “Participation” in *SAGE Handbook of Governance*.

Session 2: The role of policy analysts as facilitators in policy-making processes (10 March 2014).

Readings:

- (A) Bingham, G. (no date). “What is Consensus-Building and Why is It Important for Resource Management?”. Source: www.resolve.org.
- (B) Careers Research and Advisory Centre. (2008). *Guide to Facilitation*. Cambridge. UK.
- (C) O’Leary and L.B. Bingham. (2007). *A Manager’s Guide to Resolving Conflicts in Collaborative Networks*. USA.
- (D) Policy simulation. The non-confidential part of this simulation will be posted on Blackboard two weeks in advance; the confidential role descriptions will be delivered in class, on the day of the simulation.

Supplementary Reading:

- (E) Mediate. (no date). “Effective Collaborative Processes on Sustainable Development and Environmental Policy: The Boulder Principles”. Source: <http://www.cgli.org/positions/IPPDbig.pdf>

Session 3: Designing public participation: methods, frameworks and strategies (17 March 2014)

Readings:

- (A) Bierle, T.C. and J. Kayford. (2002). Chapter 7: “Designing public participation processes”, in *Democracy in Practice – Public Participation in Environmental Decisions*, pp.63-73. Resources for the Future, Washington D.C.
- (B) Dietz T. and P.C Stern. (2008). Chapter 8: “Context: the people”, in *Public Participation in Environmental Assessment and Decision Making*, pp. 187-221. National Research Council of the national Academies. USA.
- (C) Bond, S., M. Thompson-Fawcett. (2010). “Public participation and new Urbanism: A conflicting agenda? In *Planning Theory & Practice* 8(4): 449 — 472.

Session 4: Designing public participation: methods, frameworks and strategies (24 March 2014)

Readings:

- (A) LAWF. (2012). *The Second Report of the Land and Water Forum*. Chapter “Freshwater policy- and plan-making through collaboration” (pp. 29-46) and Appendices: pp. 76-87.
- (B) LAWF. (2012). *A Note on Collaboration*. Pp. 1-3. Wellington.
- (C) Lennox, J., W. Proctor, S. Russell. (2011). “Structuring stakeholder participation in New Zealand’s water resource governance”, in *Ecological Economics* 70:1381–1394.
- (D) Tan, P.L., K.H. Bowmer and J. Mackenzie. (2012). “Deliberative tools for meeting the challenges of water planning in Australia”, in *Journal of Hydrology* 474:2-10.
- (E) Vantanen, A. and M. Marttunen. (2005). “Public involvement in multi-objective water level regulation development projects - evaluating the applicability of public involvement methods”, in *Environmental Impact Assessment Review* 25:282-304.
- (F) Policy Simulation. The print-outs of the non-confidential part will be delivered to students in class, two weeks in advance; the confidential role descriptions will be delivered in class, on the day of the simulation.

Session 5: Exploring the roles of science and values in policy processes (31 March 2014)

Readings:

- (A) Fischer, F. (2000). “Science and politics in environmental regulation: The politicization of expertise”, in *Citizens, Experts and the Environment: The Politics of Local Knowledge*, pp.89-108. Duke University Press. USA.
- (B) Ozawa, C.P. (2006). “Science and intractable conflict”, in *Conflict Resolution Quarterly*, 24(2):197-205.
- (C) Pellizzoni, L. (2001). “Democracy and the governance of uncertainty: The case of agricultural gene technologies”, in *Journal of Hazardous Materials* 86:205–222.
- (D) Elix, J. and J. Lambert. (2007). “Mapping the Values of Shorebird Habitat in Tasmania: A Tool for Resolving Land Use Conflict”, in *Conflict Resolution Quarterly* 24(4):469-484.
- (G) Policy simulation. The print-outs of the non-confidential part will be posted on Blackboard, two weeks in advance; the confidential role descriptions will be delivered in class, on the day of the simulation.

Session 6: Institutional rules and public participation (7 April 2014)

Readings:

- (A) Denters (A) and P.J. Klok. (2010). “Rebuilding Roombeek: patterns of citizen participation” in *Urban Governance Urban Affairs Review* 45(5) 583–607.
- (B) Ostrom, E. (1996). “An agenda for the study of institutions”, in *Public Choice* 48(1):3-25.
- (C) Case study. The material will be posted on Blackboard two weeks in advance.

Session 7: Participation, representativeness and inclusion (14 April 2014)

Readings:

- (A) Feldman, M.S. and A.M. Khademian. (2007). “The role of the public manager in inclusion”, in *Governance*, 20(2): 305-324.
- (B) Feldman, M.S. and A.M. Khademian. (2000). “Managing for inclusion: Balancing control and participation”, in *International Public Management Journal*, 3(2): 149-168.
- (C) Bromell, D. and M. Hyland. (2007). *Social Inclusion and Participation: A Guide for Policy and Planning*. Ministry of Social Development. Wellington.
- (D) Case study. The print-outs will be delivered in class, two weeks in advance.

Independent Group Work, 5 May 2014

Student group work, 3 hours. Participation in this group work is mandatory (more detail will be offered during lectures).

Readings:

- (A) Forester, J. (1999). Chapter 3: “Challenges of deliberation and mediation in the design professions” (pp.62-84), and Chapter 4 “Recognitions of opportunities for deliberation in the face of conflict” (pp. 85-111), in *The Deliberative Practitioner - Encouraging Participatory Planning Processes*. The MIT Press.
- (B) Putnam, L.L., G. Burgess, R. Royer. (2003). “We can’t go on like this: Frame changes in intractable conflicts”, in *Environmental Practice* 5:247–255.
- (C) Policy simulation. The print-outs of the non-confidential part will be delivered to students in class, at the end of Session 7; the confidential role descriptions will be emailed to students individually.

Session 8: Participatory budgeting (14 May 2014)

Readings:

- (A) Lavan, K. (2007). *Participatory Budgeting in the UK; An Evaluation from a Practitioner perspective*. Chapters 1 to 5 (pp. 21-53). PB Unit, UK.
- (B) Policy simulation. The print-outs will be delivered to students in class.

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. 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 150 hours. (One point equates to 10 hours of work, which means a total of 150 hours for a 15-point course, such as PUBL 401).

Assessment Requirements

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

Assignments	Weight	Due Date	Required word length	Relevant Sessions
1) Essay	45%	3 April, 9.00 am	2,500 words	1, 2, 3, 4
2) Policy analysis report	45%	21 May, 9.00 am	2,500 words	5, 6, 7, and the Independent Group Work
3) Participation in class activities	6%	n/a	n/a	All sessions
4) Independent Group Work (individual Memo)	4%	9 May, 9.00 am	up to 3 pages	Independent Group Work

There is no final exam for this course.

General Notes for Assignments

Please send your assignments in Word format and indicate your document's word length on the cover sheet, and full name. Note that all assignments are to be submitted BY EMAIL ATTACHMENT to sog-assignments@vuw.ac.nz. Extensions 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. **There is no final examination for this course.**

Note 1: *Students are required to complete a statement to accompany each mandatory 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. Please deliver your statements by email to sog-assignments@vuw.ac.nz or to the SoG Assignment Box on level 8, Rutherford House, Pipitea Campus.*

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 Victoria Business School 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 14 of the total of 16 teaching hours** scheduled for this course and must **attend the independent group work in full**. If you become aware after the course starts that you will be unable to attend the required number of 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 5% (of the assignment 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 Wednesday after 9.00 am, when it was due on Monday 9.00 am, you will get a mark of 50%. In this example the assignment will not be accepted if handed-in after Friday 5.00 pm.

A penalty applies also on the word count. A written assignment that exceeds the word limit by more than 200 words will be penalised by 5%, with further **5% deductions for any additional 300 words excess**. For example if the word limit is 2500 words, but the handed-in assignment has 3100 words, the total word penalty will be 10% (given that 2700 words are 'penalty free'). Please note that **the word count includes all footnotes, tables and figures, but excludes the reference list**. Assignments must be provided in **Word documents**, no pdf, thanks.

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 fulfil the class attendance requirements to pass this course.

Communication of Additional Information

Any additional information will be conveyed to students in class. Blackboard will also be used for announcements and for course-related materials such as assignments and group work. Some information communicated via Blackboard (such as some announcements) will be sent to your @myvuw.ac.nz email address (the free email address created for you when you enrol and accessed via the myVictoria student web portal). However you need to check the Blackboard regularly as well.

Class Representative

A class representative will be elected in the first class, and that person's name and contact details made available to VUWSA, the course coordinator and the class. The class representative provides a communication to liaise with the course coordinator on behalf of students.

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.

School of Government Service Standards

Good learning and teaching outcomes for students in School of Government courses depend on many factors, including open, transparent and accountable relationships between teaching and support staff, and students in their various activities. The following service standards indicate some of the key expectations that teaching staff and students can have of each other. In all cases, they represent what the School believes should be ‘normal’ practice; exceptional circumstances can and will be negotiated as required.

Please note that there are University-wide policies relating to assessment – including rights of review and appeal. Details may be found in the Assessment Handbook (which is reviewed and updated from time to time – www.victoria.ac.nz/home/about/avcademic/publications/assessment-handbook.pdf).

In general terms, any concerns that a student or students may have should be raised with the course coordinator in the first instance. If that course of action is not appropriate, the School’s programme support staff will direct you to the relevant Programme Director/Coordinator.

Standards relating to staff timeliness of responses to email and phone queries:

- Email or phone queries from students will be responded to in 48 hours

Standards relating to availability of course materials:

- Students on modular or intensive courses will usually have course materials at least 4 weeks before the course starts
- Students on weekly courses will usually have course materials available on the first day of the course

Standards relating to attendance:

- It is expected that students will attend all contact teaching sessions for a course. If a student is aware that they will be unable to attend part of a course prior to it commencing, they are required to advise the course coordinator. In such a situation, the student may be declined entry into the course.
- Where a course coordinator approves some non-attendance before the class commences, the course coordinator may set additional item(s) of assessment of learning and teaching objectives for the course for students unable to attend. Advice relating to the submission and assessment of any such additional assessment will be provided by the course coordinator.

Variations to the assessment details provided in the course outline:

- Any variation to the assessment details in the course outline will be formally agreed between the course coordinator and students at the earliest possible time, preferably at the beginning of the course.

Standards relating to assignments – turnaround and feedback:

- Unless otherwise agreed between students and the course coordinator, items of assessment will be marked within 15 working days of submission.
- Comments on pieces of assessment will allow students to understand the reasons for the mark awarded, relative to the teaching and learning objectives specified in the course outline, and will usually include advice on how the student can improve their grades in future assignments.

Student feedback

Student feedback on University courses may be found at www.cad.vuw.ac.nz/feedback/feedback_display.php

Link to General Information

For general information about course related matters, please go to :-

<http://www.victoria.ac.nz/vbs/studenthelp/general-course-information>

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 Name _____

Course Coordinator/Tutor/Supervisor _____

Due Date _____ Word Count _____

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: _____