

School of Government

**PUBL 306**  
**The theory and methods of policy analysis**

Trimester 1, 2014

**COURSE OUTLINE**

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**Names and Contact Details**

- Course Coordinator**      **Dr. Valentina Dinica**  
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Telephone: (04) 463 5711  
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- Course Lecturer**      **Dr. Jaikishan Desai**  
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- Course Administrator:**      **Mrs. Robyn McCallum**  
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- Office Hours Reception:**      8.30am to 5.00pm, Monday to Friday

**Trimester Dates**

Monday 3 March – Friday 6 June 2014

**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**. 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:* weekly, 2 hour sessions on Wed 3.40 – 5.30 pm in RWW 501.

*Tutorials:* Monday, Tuesday, Wednesday and Thursday 5.40-6.30 pm in either RWW 125, 126 or 222; please see the tutorial schedule in Blackboard and subscribe for the tutorial of choice through S-Cube (tutorials will be filled-up on a 'first come first served basis').

### **Course Description**

This course introduces students to the world of policy analysis and advising – a world in which people who are strictly neither ordinary citizens nor elected representatives are officially authorised to inform and advise elected policymakers about the decisions facing government. Key features of this world include: the relationship between policy analysis and policy advice; the roles, identities, and attributes of analysts and advisors; the relationships between policy advisers and various types of policy stakeholders; the multiple pathways through which policy information and advice flow. Fundamental questions facing the student of policy analysis are the questions related to values, knowledge, evidence and uncertainties. What are the defining features of good policy analysis and advice? How is good policy analysis and advice best produced?

This course addresses these fundamental questions within the larger context of New Zealand's policymaking system via three broad types of activities: familiarising students with the chief philosophical approaches, tools and methods of policy analysis; helping students apply these tools and methods to contemporary policy issues; and defining and encouraging those dispositions and habits of mind which are found in the best policy analysts.

### **Course Learning Objectives**

By the end of this course, students will be able to:

1. Compare and critique various philosophical approaches to policy analysis, and illustrate how they influence various frameworks and methods of policy analysis (MA5 – see below).
2. Apply core frameworks and methods of policy analysis to generate policy advice for decision makers for contemporary policy issues (MA1; MA7; MA9).
3. Analyse the available evidence for policy problems and values underpinning problem structuring, and design strategies to cope with knowledge-laden and value-laden uncertainties (MA6; MA10; MA11)
4. Critically assess the suitability of using various methods of policy analysis for various kinds of policy problems, goals and challenges (MA1; MA7).
5. Design strategies for balancing competing pressures on policy advice from clients and interest groups (MA9; MA10; MA11).

<b>Major Attributes: PUBL majors will be able to:</b>	
Judge the defining features of good policy analysis and advice and appraise how they are best produced	(MA 1)
Understand the influence of political ideas and philosophies, and of constitutional and political institutions on public policy	(MA 2)
Understand the contribution of quantitative and qualitative methods in policy analysis	(MA 3)
Identify the nature and respective roles of state and civil society in the development, implementation and evaluation of public policy, and understand the distinction between government and governance	(MA 4)
Appraise different disciplinary contributions to the development, implementation and evaluation of public policy	(MA 5)
Judge the relevance and importance of evidence in policymaking	(MA 6)
Apply various methods of policy analysis, and identify insights that might be drawn from other policy jurisdictions	(MA 7)
Judge and articulate the relevant criteria that might be used in assessing the advantages and disadvantages of particular policy options	(MA 8)
Analyse complex policy issues from multiple perspectives and identify opportunities for innovation	(MA 9)
Express ideas succinctly and persuasively both in written form and orally	(MA 10)
Construct and articulate rationales for public policy intervention	(MA 11)
Understand the significance of ethics and accountability in the study and practice of public policy	(MA 12)
Interpret the significance of the Treaty of Waitangi (Te Tiriti o Waitangi) in the study and practice of public policy in New Zealand	(MA 13)

## **Course Content and Readings**

This section presents the topics that will be addressed in each lecture and the relevant book chapters and journal articles, which must be read in preparation of each lecture.

### **Part 1: Aspects and processes of policy analysis**

Lecture 1: Wed 5 March, Dr. Valentina Dinica, 3.40 – 5.30 pm, Room RWW 501

#### **Philosophical perspectives on policy analysis: (neo)positivism and post-positivism.**

##### *Readings:*

- Smith, K.B. and C.W. Larimer (2009) “What should we do? The field of policy analysis”, Chapter 5 in *The Public Policy Theory Primer*, pp. 101 – 128.
- Mayer, I., C. E. van Daalen and P. Bots (2004) “Perspectives on Policy analyses: A Framework for Understanding and Design” *Journal of Technology, Policy and Management*, 4(2): pp. 169 – 191.
- Bardach, E. (1995) *Policy Analysis: A Handbook for Practice*, Electronic Hallway.

Lecture 2: Wed 12 March, Dr. Valentina Dinica, 3.40 – 5.30 pm, Room RWW 501

#### **Policy problems: definitions and problem structuring**

##### *Readings:*

- Hisschemöller, M. and R. Hoppe (1996). “Coping with Intractable Controversies: The Case for Problem Structuring in Policy Design and Analysis”, *Knowledge and Policy* 8: 40 – 60.
- Ozawa, C.P. (2006). “Science and Intractable Conflict”, in *Conflict Resolution Quarterly*, 24(2): 197-205.
- Dovers, S.R. (1996). “Sustainability: demands on policy”, in *Journal of Public Policy* 16(3):303-318.

Lecture 3: Wed 19 March, Dr. Valentina Dinica, 3.40 – 5.30 pm, Room RWW 501

#### **Stakeholders and the policy problem**

##### *Readings:*

- Friedman, A.L. (2002). “Developing a Stakeholder Theory”, in *Journal of Management Studies* 39(1): 1-20.
- Hemmati, M. (2002). Chapter “The concepts: key values and ideologies of MSP”, in *Multi-stakeholder Processes for Governance and Sustainability: Beyond Deadlock and Conflict*. Earthscan.

Lecture 4: Wed 26 March, Dr. Valentina Dinica, 3.40 – 5.30 pm, Room RWW 501

**Policy analysis criteria. Policy instruments: an introduction.**

*Readings:*

- 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.
- Leveque F. (1996). “The regulatory game”, in *Environmental Policy in Europe: Industry, Competition and the Policy Process*. Paris. Edward Elgar Publishing.
- Mickwitz, P. (2003). “A framework for evaluating environmental policy instruments”, in *Evaluation* 9(4): 415-436. Sage Publications.

Lecture 5: Wed 2 April, Dr. Valentina Dinica, 3.40 – 5.30 pm, Room RWW 501

**Policy instruments: direct regulations and voluntary agreements.**

*Readings:*

- Howlett, M. (2011). “Authoritative implementation tools”, in *Designing Public Policies*, pp. 89-93
- Howlett, M. (2011). “Information based implementation tools”, in *Designing Public Policies*, pp. 115-1293
- Storey, M., G. Boyd, J. Dowd. (1999). “Voluntary agreements with industry”, in *Voluntary Approaches in Environmental Policy*. Kluwer.

Lecture 6: Wed 9 April, Dr. Valentina Dinica, 3.40 – 5.30 pm, Room RWW 501

**Policy instruments: economic instruments. The decision matrix.**

*Readings:*

- Hawke, N. (2002). “Economic instruments, law and policy”, in *Environmental Policy: Implementation and Enforcement*, pp. 207-243. Ashgate.
- Dinica, V. (2002). Energy policies for CO2 emissions reduction. In A. Yotova (Ed.), *Encyclopedia of Life Support Systems (Vol. Natural resource system challenge II – Climate change, human systems and policy)*. Oxford, UK: EOLSS Publishers.
- RFP Evaluation Centers. “What is a Decision Matrix?” Pp. 1-6. Available at <http://rfptemplates.technologyevaluation.com/What-is-a-Decision-Matrix.html>

Lecture 7: Wed 16 April, Dr. Valentina Dinica, 3.40 – 5.30 pm, Room RWW 501

**Adaptive policy-making processes and measures**

- Walker, W.E., S. Adnan Rahman and J. Cave. (2001). —Adaptive policies, policy analysis, and policy-making, in *European Journal of Operational Research* 128: 282-289.
- Swanson, D., and S. Tomar (2009). “Chapter 3 —Integrated and forward-looking analyses”, in *Creating Adaptive Policies: A Guide for Policy-Making in an Uncertain World*.

MID TERM BREAK

**Part 2: Quantitative methods for policy analysis –  
Introduction to Cost-Benefit Analysis**

Lecture 8: Wed 7 May, Dr. Jaikishan Desai, 3.40 – 5.30 pm, Room RWW 501

**Conceptual foundations of cost-benefit analysis**

*Readings:*

- Lecture notes based on Chapters 1 & 2 of Boardman, A.E., D.H. Greenberg, A.R. Vining, and D.L. Weimer. (2011). *Cost-Benefit Analysis: Concepts and Practice*, fourth edition, Pearson (Prentice Hall).
- New Zealand Treasury. (2005). Cost Benefit Analysis Primer. Available at: <http://www.treasury.govt.nz/publications/guidance/planning/costbenefitanalysis/primer>

Lecture 9: Wed 14 May, Dr. Jaikishan Desai, 3.40 – 5.30 pm, Room RWW 501

**Valuing Benefits and Costs**

*Readings:*

- Lecture notes based on Chapters 4 & 5 of Boardman, A.E., D.H. Greenberg, A.R. Vining, and D.L. Weimer. (2011). *Cost-Benefit Analysis: Concepts and Practice*, fourth edition, Pearson (Prentice Hall).
- New Zealand Treasury. (2005). Cost Benefit Analysis Primer. Available at: <http://www.treasury.govt.nz/publications/guidance/planning/costbenefitanalysis/primer>

Lecture 10: Wed 21 May, Dr. Jaikishan Desai, 3.40 – 5.30 pm, Room RWW 501

**Discounting Benefits and Costs in Future Time Periods & Net Present Value.  
Dealing with uncertainty.**

*Readings:*

- Lecture notes based on Chapters 6, 7 & 10 of Boardman, A.E., D.H. Greenberg, A.R. Vining, and D.L. Weimer. (2011). *Cost-Benefit Analysis: Concepts and Practice*, fourth edition, Pearson (Prentice Hall).
- New Zealand Treasury. (2005). Cost Benefit Analysis Primer. <http://www.treasury.govt.nz/publications/guidance/planning/costbenefitanalysis/primer>

Lecture 11: Wed 28 May, Dr. Jaikishan Desai, 3.40 – 5.30 pm, Room RWW 501

**Case studies of Cost Benefit Analysis in New Zealand**

Readings:

- Grimes, et al. (2012). Cost Benefit Analysis of the Warm Up New Zealand: Heat Smart

Programme. Source:

[http://www.motu.org.nz/publications/detail/cost\\_benefit\\_analysis\\_of\\_the\\_warm\\_up\\_new\\_zealand\\_heat\\_smart\\_programme](http://www.motu.org.nz/publications/detail/cost_benefit_analysis_of_the_warm_up_new_zealand_heat_smart_programme)

- Covec. (2007). Recycling: Cost Benefit Analysis. Source: <http://www.mfe.govt.nz/publications/waste/recycling-cost-benefit-analysis-apr07/recycling-cost-benefit-analysis-apr07.pdf>
- Moore, et al. (2010). Cost benefit analysis of raising the quality of New Zealand networked drinking water. Source: <http://www.health.govt.nz/publication/drinking-water-cost-benefit-analysis>

Lecture 12: Wed 4 June, Dr. Jaikishan Desai, 3.40 – 5.30 pm, Room RWW 501

### **Cost Effectiveness**

Readings: please see the Lecture 12 folder in Blackboard

### **Course Delivery:**

This course will be delivered by means of lectures and tutorials. Two tutorials are offered every week. The Thursday tutorial will address issues discussed in that week's Lecture. The Tuesday tutorial will be a repeat of the previous week's Thursday tutorial. The first tutorial starts on Monday March 10, 2014 (meaning that Lecture 1 will only have two tutorials). Students may choose to attend the tutorial that suits them best, every week. Students are expected to contribute to tutorial discussions individually. Tutorials have two main purposes: a) to reinforce what has been taught during the lectures of the respective week, by discussing various concepts and ideas explained during the relevant lectures and the readings; b) to illustrate theoretical ideas and methods of policy analysis by means of practical examples or policy case studies. A minimum attendance requirement applies for both lectures and tutorials (please see below).

### **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 200 hours, including lectures and tutorials. (One point equates to 10 hours of work, which means a total of 200 hours for a 20-point course, such as PUBL 306).

### **Assessment Requirements**

The table below mentions the assignment types, weights, deadlines, recommended length, the lectures and tutorials that are of most relevance for the respective assignment, and which course objectives will be tested in each assignment (the course objectives are mentioned on pages 2-3 of this outline).

Assessments	Weight	Due Dates 2013	Word length	Lectures of relevance	Course Objectives tested
1) Policy Report (mandatory)	60%	May 5, 9.00 am	5000 words	Lectures: 2, 3, 4, 5, 6, 7	Objectives 1, 2, 3, 4, 5
2) Take home test (mandatory)	40%	6 June, 5pm	NA	Lectures: 8, 9, 10, 11, 12	Objectives 2, 5

### 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 Assignments Box on level 8 of 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.*

### Mandatory Course Requirements

- 1) You must **submit Assessments 1 and 2 mentioned in the above table.** Failure to submit any of these assessments within five days from the deadline (please see the Penalties section, below), will lead to an automatic failure of this course, unless acceptable evidence is provided for the delay in submission. Please note that even when a grade higher than 50% is obtained for Assessments 1, failure to hand in the Assessment 2 will lead to a failure of the course.
- 2) Minimum mandatory class attendance:
  - Students are required to **attend at least half of the lectures relevant for Assessments 1, and half of those relevant for Assessment 2** (please see above the table);
  - further, students are required to **attend at least half of the tutorials relevant for each of the two assessments.**

Please contact the relevant Course Lecturer as soon as you become aware you are now able to meet the class attendance requirements to discuss your situation and provide evidence of personal circumstances.



## **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** (whether weekday or work 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 1.00 pm, 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 5000 words, but the handed-in assignment has 5700 words, the total word penalty will be 10% (given that 5200 words are 'penalty free'); if the assignment has 6100 words, the total word penalty will be 15%. 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.

## **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 will also be used for announcements and for course-related materials such as assignment texts. 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.

## **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.

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/avcacademic/publications/assessment-handbook.pdf](http://www.victoria.ac.nz/home/about/avcacademic/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](http://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>

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# 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: \_\_\_\_\_