

CEU DPP
Policy analysis
2023-24

Instructors:	Evelyne Hübscher, Agnes Batory
Teaching assistant:	Nadia Manzoni
Class times:	Tuesdays 10:50 (Group B , Room B421); Wednesdays 8:50 (Group C , Room C323), Thursdays 10:50 (Group A , Room B505)
Credits:	2 CEU credits (4 ECTS)
Requirements:	Regular participation, student input/presentation, final paper

Course Description

This mandatory 2 credit course examines the policy process in different political and geographical contexts. The course considers how policy problems are identified and framed, and how responses are formed and evaluated. Through interactive seminars based on core literature, policy material and case study work, students learn and apply key concepts in policy studies, deepen their knowledge of the policy cycle from initiation implementation and evaluation, and examine the actors, interests, and institutions (domestic and external) that shape policy processes and outcomes.

Learning Outcomes

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

- identify policy problems and critically engage with them with various analytical tools and methods.
- understand key concepts in policy studies and apply them to/in specific problems/contexts
- understand, articulate and critically discuss how policy issues are problematized and policy responses are designed, implemented, monitored and evaluated in different contexts
- and identify key actors and institutions structuring the policy process

Course Requirements and Assignments

The workload of a standard 2 US (4 ECTS) credits course is expected to be between 100-120 hours. In addition to the hours that students spend in class (21h) the remaining hours should be spent on the following components:

- Preparations for weekly seminars (readings)
- Class input/presentation
- Final assignment

The final grade consists of the following components:

- Regular participation in class discussions and group work (10 %)
- Presentation/interactive student input, in teams (30 %).
- Policy Brief/Final Paper (60%)

Seminar participation: 10%

Participation in class discussions and group work will be assessed on the basis of attendance, demonstration of engagement with the assigned readings, and the quality of contributions showing analytical insight.

Presentation/interactive student input: 30%

Small teams of students (two or three depending on class size) will provide structured input at the beginning of each seminar, which can take the form of a presentation and a discussant responding where student numbers allow (interactive formats are encouraged) or other formats the students find conducive for providing an illustration of the topic at hand and generating discussion. Presentations should be no longer than 15 minutes (in the case of more interactive formats additional time may be negotiated with the instructor in advance). They are guided by the questions provided in the syllabus. Student input critically engages with the indicated readings (required and recommended) and provides clear added value, for instance by using an empirical example/case illuminating arguments or mechanisms in the core literature. Presentations are evaluated upon clarity and quality, time keeping, and upon the presenters' ability to master the topic (an evaluation checklist is uploaded to the course e-learning site).

Draft presentations or presentation outlines need to be sent to both the instructors and the TA at least 3 days before the session in which they take place so that feedback can be provided. Consultation with the TA prior to finalizing the input is strongly encouraged.

Final Paper: 60%

The final paper is due at the end of the term (date TBA). The length of the paper should not exceed 2.500 words, excluding the bibliography (+/- 10% is acceptable). The assignment takes the form of a policy brief of a regular academic paper (discussing, e.g., one of the questions posed for the sessions through the literature).

Policy briefs are written to advise a governmental or nongovernmental body on a topic of the students' choice. Papers define a clear policy problem, are characterized both by empirical and analytical rigor, and provide persuasive policy recommendations on the chosen topic.

A proposal of the final paper should be sent to the instructors and TA 3 weeks before the end of the course, with the proposed research question (academic papers) and with the following three components (policy brief): 1) To whom the policy brief is addressed? 2) What is the policy problem at hand? and 3) the evaluation criteria that you aim to apply when assessing policy options.

The criteria for assessment are uploaded to the course e-learning page in the form of a sample feedback and assessment form.

All written contributions must be original, i.e. produced exclusively by the student who submits the work. Any text reproduction which is not clearly identified and attributed to the original source will be considered as plagiarism, with the consequences described in the Student Handbook, CEU's Code of Ethics and other relevant University policies and regulations.

Please note that late papers will be marked down as per the penalty described in the Student Handbook and that failing any one of the grade components results in failing the whole course.

Academic Integrity and AI Policy

Plagiarism is extremely serious academic misconduct. To avoid any misunderstandings and wrongdoings, please familiarize yourself with the 'Academic Dishonesty' part of the Student Handbook, the CEU Policy on Plagiarism and accompanying guidelines and the CEU Code of Ethics. If you have questions regarding these key policies, please address them at the beginning of the term. This course makes use of a software (Turnitin) to verify the originality of the material that you submit.

Short note on AI tools: AI tools (e.g. ChatGPT) can be used to locate materials or to assist with language translation. The use of such tools can also be helpful to understand course material. The goal of this course, however, is to develop your own critical thinking and your ability to find your own voice by synthesizing information that highlights your own perspective. This is why submitting text generated by an AI is prohibited. Text may not be copy-pasted from an AI into any assignment and presented as your own work and automated paraphrasing by AI for graded assignments is equally prohibited.

Prerequisites:

None. Students new to policy studies may wish to consult any of the standard textbooks on the subject in the library. For specific questions, please get in touch with your instructors.

Course Overview

#	Week starting	Instructor	Title	Topics
1	18/9/2023	EH	Introduction	What are public policy problems? Policy analysis in theory and practice
2	25/9/2023	EH	Evidence based policy making!?	To what degree and under which conditions do scientific and statistical evidence matter in policy making?
3	2/10/2023	AB	The stages approach to policy studies	How can we conceptualize the policy process? Introduction to the policy cycle
4	09/10/2023	AB	Agenda setting	Why and how do issues become important for the policy agenda?
5	16/10/2023	AB	Policy transfer and diffusion	Borrowing foreign models; Policy learning – how, when and from whom?
6	23/10/2023	EH	Policy formulation	How are policies formulated? What are the most common policy instruments?
7	30/10/2023	EH	Policy implementation	What are the key challenges of putting policies into practice?
8	6/11/2023	AB	Compliance	Why do target groups comply (or fail to comply) with policies?
9	13/11/2023	EH	Evaluation	Which methods are used for policy evaluation? How can evaluation remain objective in a political environment?
10	20/11/2023	EH	Policy success, failure, and policy termination	How can we establish whether a policy succeeded? What are the main, common causes of policy failure?
11	27/11/2023	EH	Critique and context for policy making	What are the main shortcomings of the policy cycle theory? How does policymaking differ in developing countries?
12	04/12/202	EH	Conclusion	

Detailed schedule of sessions

#	Instr.	Description
1	EH	<p>Introduction: why are we here?</p> <p>Guiding questions:</p> <ul style="list-style-type: none"> - What is public policy? - How to approach and understand the process of policy making and its outputs? - Which factors determine policies and their results? <p>Required readings:</p> <ul style="list-style-type: none"> - None – BUT: Think about possible answers to the questions that are guiding this session!
2	EH	<p>Evidence-informed policy-making</p> <p>Guiding questions:</p> <ul style="list-style-type: none"> - To what degree and under which conditions scientific and statistical facts matter in policy making? - Does social science in general and policy studies in particular matter for the ‘real world’? How and to what extent does scientific evidence influence policy-making? - What is the role of ‘experts’ in the policy-making process? What is the relationship between academia and government? <p>Required readings:</p> <ul style="list-style-type: none"> - Brian W. Head (2008), ‘Three Lenses of Evidence-Based Policy’, <i>Australian Journal of Public Administration</i> 67: 1, pp 1-11. - Bowers and Testa (2019). Better Government. Better Science: The Promise of and Challenges Facing the Evidence-Informed Policy Movement. In: <i>Annual Review of Political Science</i>. <p>Recommended readings:</p> <ul style="list-style-type: none"> - Ascher William (2017). ‘The Expert’s Frustration: Rejection of Sound Knowledge or Recommendations’, in: <i>Understanding the Policymaking Process in Developing Countries</i> - Hadorn et al. (2022). Evidence-based Policymaking in Times of Acute Crisis: Comparing the Use of Scientific Knowledge in Germany, Switzerland, and Italy. In: <i>Politische Vierteljahresschriften</i>, Vol. 63. - Frey Katrin (2010). Revising Road Safety Policy: The Role of Systematic Evidence in Switzerland. In <i>Governance</i> 23(4), p. 667-690. - Bundi and Pattyn (2022). Trust but Verify? Understanding Citizens Attitudes towards Evidence-informed Policy-making. In: <i>Public Administration</i>, forthcoming. - Kenneth E Warner, Jamie Tam (2012). ‘The tobacco epidemic today: The impact of tobacco control research on policy: 20 years of progress’. In: <i>Tobacco Control</i>, 21:2, p. 103-109

3	AB	<p>The stages approach to policy analysis and the policy cycle</p> <p>Guiding questions:</p> <ul style="list-style-type: none"> - Which are the distinct stages in public policy making and how are they sequenced? - The stages approach to policy analysis: introduction to the concept of policy cycle - Normative versus positive understandings of the policy cycle <p>Required readings:</p> <ul style="list-style-type: none"> - Werner Jann and Kai Wegrich, 'Theories of the Policy Cycle' in Frank Fischer et al., <i>Handbook of Public Policy Analysis: Theory, Politics and Methods</i>, CRC Press, 2007. - Peters and Hoornbeek, 'The Problem of Policy Problems' in: F. Pearl Eliadis, Margaret M. Hill, Michael Howlett, 2005, <i>Designing Government: From Instruments to Governance</i>, ch4. <p>Recommended readings:</p> <ul style="list-style-type: none"> - Carney, 'What is the policy cycle?', pp. 32-34 and 'The Advocacy Coalition framework', ch 10 in <i>Understanding public policy</i>. - Sophia Everett, 2003. The Policy Cycle: Democratic Process or Rational Paradigm Revisited?, <i>Australian Journal of Public Administration</i>, 62 (2): 65-70. - Bridgman, P. and Davis, G. (2003). What Use is a Policy Cycle? Plenty, if the Aim is Clear. <i>Australian Journal of Public Administration</i>, 62(3), 98-102.
4	AB	<p>Policy problems and agenda setting</p> <p>Guiding questions:</p> <ul style="list-style-type: none"> - How and by whom are policy problems identified? - Why and how do issues become important for policy-makers? - Which key actors can shape the policy agenda, and how? <p>Required readings:</p> <ul style="list-style-type: none"> - Paul Carney, 'The advocacy coalition framework' (ch 10) in <i>Understanding Public Policy</i> (2012). - Nikolaos Zahariadis. 2007. 'The Multiple Streams framework: Structure, limitations, prospects', in Sabatier (eds), <i>Theories of the Policy Process</i>. 2nd ed. 2007. <p>Recommended readings:</p> <ul style="list-style-type: none"> - Knill and Tosun (2015) on Problem Definition and Agenda Setting (part about problem definition) in: <i>Public Policy. A New Introduction</i>. - Peters, Guy P. (2015). Policy Problems. In: An Advanced Introduction to Public Policy. - Hank C. Jenkins-Smith et al. "The Advocacy Coalition Framework. Foundation. Evolution and ongoing research" [excerpt] In <i>Theories of the policy process</i>, 3rd edition, edited by Paul A. Sabatier, Christopher M. Weible. 183-224. Particularly pp. 189-194. - Frank R. Baumgartner, Christoffer Green-Pedersen & Bryan D. Jones (2006) Comparative studies of policy agendas, <i>Journal of European Public Policy</i>, 13:7, 959-974, DOI: 10.1080/13501760600923805 - Wayne Parsons, 'Theories of agenda control', in <i>Public Policy</i>, esp pp 125-30.

5	AB	<p>Policy transfer and diffusion</p> <p>Guiding questions:</p> <ul style="list-style-type: none"> - How, when and why do ideas, norms, institutions spread internationally? - What is policy transfer, diffusion and translation? - What conditions facilitate or inhibit the spread of policies, institutions or ideas? What is the role of ‘transfer agents’ (networks, international organisations, civil society organisations, etc)? - What are the risks and limitations of policy transfer, or the pitfalls of adopting international ‘best practice’? <p>Required readings:</p> <ul style="list-style-type: none"> - David P. Dolowitz and David Marsh (2000), “Learning from Abroad: The Role of Policy Transfer in Contemporary Policy-Making”, <i>Governance</i>, 13. - Richard Rose (2005) Learning from comparative public policy: A practical guide. London: Routledge. Introduction & Step 6: Drawing a lesson. <p>Recommended readings:</p> <ul style="list-style-type: none"> - Dolowitz, D. P. (2003), A Policy-maker's Guide to Policy Transfer. <i>The Political Quarterly</i>, 74: 101–108. doi:10.1111/1467-923X.t01-1-00517 - Stone, Diane (2012) Transfer and translation of policy. <i>Policy Studies</i>, 33:6, 483-499. - Mark Evans (2009) Policy transfer in critical perspective, <i>Policy Studies</i>, 30:3, 243-268, DOI: 10.1080/01442870902863828 - Eugene McCann & Kevin Ward (2013) A multi-disciplinary approach to policy transfer research: geographies, assemblages, mobilities and mutations. <i>Policy Studies</i>, 34:1, 2-18, DOI: 10.1080/01442872.2012.748563
6	EH	<p>Policy instruments, Policy Formulation and Stakeholders</p> <p>Guiding questions:</p> <ul style="list-style-type: none"> - What are the instruments we can use to address policy problems? - How are policy instruments categorized? - How do you gauge the importance of stakeholder in the formulation process? <p>Required readings:</p> <ul style="list-style-type: none"> - Peters, Guy. 2015. “Policy instruments”, in <i>Advanced Introduction to Public Policy</i>. Cheltenham, UK, Northampton, MA, USA: Edward Elgars, pp 101-123. - Chapter 5 on: Policy Design and Formulation, in: <i>Public Policy: Origins, Practice, and Analysis</i> (by Martin et al.). - Eckhard and Jankauskas. 2019. The Politics of Evaluation in International Organizations: A Comparative Study of Stakeholder Influence Potential, in: <i>Evaluation</i> 25(1). <p>Recommended readings:</p> <ul style="list-style-type: none"> - Formulating a Public Policy (Chapter 6). In: <i>Public Policy Skills in Action: A Pragmatic Introduction</i>, by Bill Coplin (2017). - John M Bryson (2004) What to do when Stakeholders matter, in: <i>Public Management Review</i>, 6:1, 21-53

		<p>- ODI (2018) Stakeholder Analysis, see: https://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/6861.pdf</p>
7	EH	<p>Policy implementation</p> <p>Guiding questions:</p> <ul style="list-style-type: none"> - What are the key challenges of putting policies into practice? - What are facilitating factors for policy implementation? - Who are the key stakeholders in policy implementation? <p>Required readings:</p> <ul style="list-style-type: none"> - Hill, Michael. 2013. Implementation: an overview. In <i>The Public Policy Process</i>, Sixth edition. Essex: Pearson Education Limited, pp 205-226 - Ansell et al. (2017). Improving Policy Implementation through Collaborative Policymaking, in: <i>Policy and Politics</i>, 45(3) <p>Recommended readings:</p> <ul style="list-style-type: none"> - Ascher (2017). Inconsistent or Incomplete Enactment of Initiatives, in: <i>Understanding the Policymaking Process in Developing Countries</i>. CUP - Carey et al. (2019), What Can Feminist Theory Offer Policy Implementation Challenges? In: <i>Evidence and Policy</i> 15(1) - Tosun and Knill (2015), Implementation. In <i>Public Policy: A New Introduction</i> - Smith and Larimer (2009). How Does it Work? Policy Implementation. In <i>The Public Policy Theory Primer</i>, p.49-74 - Hood, C. (2007) 'Public Service Management by Numbers: Why does it vary? Where has it come from? What are the Gaps and Puzzles?', <i>Public Money & Management</i>, 95-102
8	EH	<p>Compliance</p> <p>Guiding questions:</p> <ul style="list-style-type: none"> - Why do 'target groups' comply, or fail to comply, with (legal) requirements? - What can governments/regulators do to increase compliance among target groups? - How can target groups (and other actors) contest compliance? <p>Required readings:</p> <ul style="list-style-type: none"> - R. Kent Weaver (2014), Compliance Regimes and Barriers to Behavioral Change, in: <i>Governance</i> 27: 2, pp 243–265. - Mavrot and Hadorn (2023). When Politicians Do Not Care for the Policy: Street-level Compliance in Cross-Agency Contexts. In: <i>Public Policy and Administration</i>, Vol. 38, No. 3. - Uri Gneezy and Aldo Rustichini, 'A fine is a prize', <i>Journal of Legal Studies</i>, Vol. 29, No. 1 (January 2000), pp. 1-17 (focus on p. 1-11). <p>Recommended readings:</p> <ul style="list-style-type: none"> - Bauer et al. (2020), 'Women Leaders and Policy Compliance during A Public Health Crisis', in: <i>Politics and Gender</i>, 16 - Becher et al. (2021), 'Ideology and Compliance with Health Guidelines during the COVID-19 Pandemic: A Comparative Perspective', in: <i>Social Science Quarterly</i>, 102

		<ul style="list-style-type: none"> - Feldman Y (2011) Five Models of Regulatory Compliance Motivation: Empirical Findings and Normative Implications. In: Levi-Faur D (ed) Handbook on the Politics of Regulation, pp. 335–346. Edward Elgar, Cheltenham. - Agnes Batory (2016), 'Defying the Commission: Creative compliance and respect for the rule of law in the EU'. Public Administration Vol. 94 Issue 3, p685-699. - Agnes Batory, 'Why do anti-corruption laws fail in Central Eastern Europe? A target compliance perspective', Regulation & Governance (2012) 6, 66–82
9	EH	<p>Policy evaluation</p> <p>Guiding questions:</p> <ul style="list-style-type: none"> - What are the criteria for assessing policy performance? - Which methods are used for policy evaluation? - How can evaluation remain objective in a political environment? <p>Required readings:</p> <ul style="list-style-type: none"> - Tosun and Knill (2015), Evaluation. In Public Policy: A New Introduction - Vendung (2015) Six Models of Evaluation in Routledge Handbook of Public Policy (2015). Chapter 29. - Oliver et al. (2020), "Evaluating Unintended Consequence: New Insights into Solving Practical, Ethical, and Political Challenges of Evaluation", in: <i>Evaluation</i> 26(1). <p>Recommended readings:</p> <ul style="list-style-type: none"> - Mavrot et al. (2023). "Blood, Sweat, and Cannabis: Real-World Policy Evaluation of Controversial Issues", in: <i>Journal of European Public Policy</i>, Vol. 30, No. 9. - Eckhard and Jankauskas. 2019. The Politics of Evaluation in International Organizations: A Comparative Study of Stakeholder Influence Potential, in: <i>Evaluation</i> 25(1). - Peters (2015). Evaluating Public Policy (Chapter 7), in: <i>Advanced Introduction to Public Policy</i>. - M. Bovens, P. t'Hart & S. Kuipers "The Politics of Policy Evaluation" M. Moran, M. Rein & R. E. Goodin (eds) <i>Oxford Handbook of Public Policy</i>, OUP, 2006. Ch. 15.
10	EH	<p>Policy success and failure; policy termination</p> <p>Guiding questions:</p> <ul style="list-style-type: none"> - How can we establish whether a policy succeeded? - Is it possible to produce an objective measure of success/failure? - What are the main, common causes of policy failure? When and why are policies terminated? - Policies often outlive their usefulness: what are the causes of this resilience? <p>Required readings:</p> <ul style="list-style-type: none"> - Marsh and McConnell (2010), 'Towards a framework for establishing policy success', <i>Public Administration</i> 88(2). - McConnell (2015), 'What is policy failure? A primer to help navigate the maze' in: <i>Public Policy and Administration</i> 30(3-4), 221-242. - Andrews (2018), "Public Policy Failure: 'How Often?' and 'What is Failure, Anyway?'" , <i>CID Faculty Working Paper</i> No. 334

		<p>Recommended readings:</p> <ul style="list-style-type: none"> - Lim (2021). "The Evolution of Research on Organizational Termination", in <i>International Review of Administrative Sciences</i>, 87(1). - Andrews (2022). "What is Public Policy Success, Especially in Development?", <i>CID Faculty Working Paper Series</i>, No 415 - Thom (2021). "Does Program Evaluation Affect Program Termination? Insights from the Repeal of Corporate Tax Incentives for the Motion Picture Industry", in: <i>Policy Studies Journal</i> 49(4) - Iris Geva-May (2004); Riding the Wave of Opportunity: Termination in Public Policy. <i>Journal of Public Administration Research and Theory</i>; 14 (3): 309-333.
11	EH	<p>Critique and context for policymaking</p> <p>Guiding questions:</p> <ul style="list-style-type: none"> - What are the main shortcomings of the policy cycle theory? - Which major factors need to be considered when going beyond the policy cycle? Media, extraordinary events, etc. - To what degree the policy cycle is applicable to different regimes? - To what degree does studying public policy help becoming a good policy analyst? <p>Required readings:</p> <ul style="list-style-type: none"> - Ascher (2017): Challenges to Effective Development Policymaking in: <i>Understanding the Policymaking Process in Developing Countries</i>. CUP. - Ascher (2017): The Policy Process in Developing Countries Really is Different. In: <i>Understanding the Policymaking Process in Developing Countries</i>. CUP <p>Recommended readings:</p> <ul style="list-style-type: none"> - Duckett & G. Wang (2017). Why do authoritarian regimes provide public goods? Policy communities, external shocks and ideas in China's rural social policy making. <i>Europe-Asia Studies</i>, 69(1), 92-109. - Lindblom, Charles. 1959. "The Science of Muddling Through." <i>Public Administration Review</i> 19 (2). - Doing Democracy: A New (Six Step) Model, in: <i>Public Policy Praxis: A Case Approach for Understanding Policy Analysis</i>. 2020. By Clemons and McBeth.
12	EH	<p>Summary and conclusion</p> <p>No new reading for this class.</p> <p>BUT: Have answers for the following questions:</p> <ul style="list-style-type: none"> - What are the key take aways of the course? - According to your assessment: what are the key differences between policymaking in 'developing' and 'developed' democracies? - Core differences between autocracies and democracies?