



Department of Politics

Module Handbook

POL 2040

Public Policy

15 credits - 2008/9

Module Details:

Lecturer/ Tutor: Alice Moseley

Office Hours: Monday 12-1pm; Tuesday 3-4pm

Lectures: Mondays 11am, Amory Moot Room

Tutorials/Seminar: Tuesdays 1pm (group 1), Amory 402
2pm (group 2) Amory 239AB

Module Description:

This module aims to develop understanding of the theory and practice of public policy in the UK and other OECD countries. The course focuses on key topics in public policy theory and practice. Three important themes structure the module in three sections. First, that rigorous academic study of policy making drawing on several disciplines, especially political science, is essential in order for it to be understood and improved - so all potential politicians and public officials should be made to study this course or something similar! This rationale for studying public policy and the key theoretical approaches used are set out in the first section of the module.

Second, that contemporary making and implementation usually occurs in complex networks and involves interactions between institutions, ideas and interests. The state is commonly thought of as being ultimately run by the elected national government and headed by the Prime Minister and Cabinet, but it is just one set of actors involved in policy – others include private bodies such as large companies, groups of nations and international organisations. Those involved in public policy often need to cooperate with others to solve contemporary policy problems. So, the second section of the module examines the role of institutions, ideas and interests in policy making. It also introduced the methods for evaluating public policies and theories.

The third section assesses key policy instruments that are often used to develop and implement policy. These include not only taxation and spending but also regulation, networks at different levels of government and internationally, the use of private finance, employing people in organisations, providing information and exhorting action.

The module uses both lectures and seminars and examines important contemporary policy problems to illustrate the topics. We consider examples ranging from the intervention of governments into national economies in the context of the Credit Crunch, to forms of spending such as energy subsidies to low income households, and policy instruments for pollution control. We also consider implementation issues in the context of complex networks for ‘cross-cutting’ public policy issues such as the environment and social problems. Students are encouraged to incorporate examples from contemporary policy into presentations and other assessed work to demonstrate understanding of the theories & topics discussed. There will also be emphasis on learning critically to appraise public policy research studies. In addition to the academic literature, examination of sources such as political party speeches and pre-budget reports will be encouraged to illustrate themes of the course. Materials, where possible, will be made available on ‘web ct’.

Acknowledgement: The module is revised from a template designed by Professor Bruce Doern.

Intended Learning Outcomes:

Module-specific skills include abilities to understand the nature and evolution of core concepts regarding public policy, analyse selected policy theories, ideas, instruments, interests and institutions and how policy outcomes reflect political forces and also change politics.

Discipline-specific skills: skills include critical thinking, analysis of arguments, writing analytical essays, presenting coherent arguments about issues covered in the module

Personal and key skills: include the ability to construct arguments, evaluate ideas and debates and to present written material in a coherent manner

Teaching Programme:

Lectures: Lectures present the theoretical framework, key issues and debates and help guide your reading. Will give students an overview of the main issues, but in order to gain a deeper understanding you should read around the lecture topics.

Seminars/Tutorials: Provide you with an opportunity to discuss a specific set of questions pertaining to the issues scheduled for discussion. All students will be expected to have prepared for the seminar/tutorial by covering some of the reading scheduled for each topic and every student should expect to contribute to the discussion. Core reading is set for each seminar to direct students to important sources. Tutorials will be run by tutors and the role of the tutor is to facilitate and guide discussion, not to provide you with all the answers. Short, assessed student presentations will also be conducted in the seminars.

Lecture Schedule - This module is divided into three sections:

Section 1: Why the Study of Public Policy Matters

The purpose of the first section is to define key concepts about policy studies, the rationale for the academic study of policy and to introduce the main theoretical approaches to the study of policy. The main approaches are pluralism; public choice; class, and neo-institutional approaches. The interdisciplinary nature of policy studies is also explored along with the links between theory and practice and policy analysis as an activity within the state.

Section 2: Policy-Making, the Policy Process & Evaluation

The purpose of the second section is to examine the overall policy making process by looking at it as complex interplay among institutions, interests and ideas. The roles and relative influence of each of these elements or factors are explored separately and together. Also discussed are the overall issues regarding the choice of policy instruments and their links with the problems of practical policy implementation. This section also engages with the methodological challenges of studying & evaluating the impacts of public policy as well as the theory of public policy.

Section 3: Policy Instruments and Processes

The purpose of this final section of the semester is to look more closely at each of the separate policy instruments: taxation, spending and regulation. Each instrument is examined in relation to: theories within the instrument field; the core political characteristics of each instrument; the

policy institutions which anchor the instrument and attempt to manage it; and the nature of efforts to reform each instrument's use in policy and governance.

Section 1: Why Public Policy Studies Matters

Lecture 1- Policy Studies: An Introduction (October 13)

Lecture 2- Policy Theory and Analysis (October 20)

Section 2: Policy-Making, the Policy Process & Evaluation

Lecture 3- Institutions (Oct 27)

Lecture 4- Interests & Ideas/ Values (Nov 3)

Reading week – no lectures or seminars (Nov 10)

Lecture 5- Studying Public Policy: Methods for Evaluating theory Using Evidence (Nov 17)

Lecture 6- Policy Instruments and Implementation (Nov 24)

Section 3: Policy Instruments and Processes

Lecture 7- Taxation and the Tax Process (Dec 1st)

Lecture 8- Spending and the Budgetary Process (Dec 8th)

Lecture 9- Regulation and the Regulatory Process (Jan 12)

Lecture 10- Policy Theory and Practice: Review & Revision Session (Jan 19)

Seminar Schedule

Seminar 1 (Oct 21st)	Policy Theory & Analysis
Seminar 2 (Oct 28th)	Institutions
Seminar 3 (Nov 4th)	Interests & Ideas/ Values
Seminar 4 (Nov 18th)	Studying/ Evaluating Public Policy
Seminar 5 (Nov 25th)	Policy Instruments & Implementation
Seminar 6 (Dec 2nd)	Spending & Taxation
Seminar 7 (Jan 13th)	Regulation (<i>please note date after Christmas break</i>)

Assessment:

Assessment is comprised of:

45% 1 X Essay of 2000 words to be submitted by **Thurs 4th Dec 2008 at 4pm**

45% 1 X Unseen written 48 hour 'take-home' examination to take place on **Jan 20th-22nd 2009** (examination paper distributed 4pm on Tuesday 20th, to be submitted 4pm Thursday 22nd)

10% Student presentation during an allotted seminar

(although presentations are arranged in groups, students are assigned individual marks based on their own contribution)

ALL ASSESSED WORK MUST BE SUBMITTED TO THE SCHOOL OFFICE AND MUST BE THERE BY 4.00 PM ON THE STATED DAY OR THE COMPUTER DOES NOT ACCEPT IT.

Essay Writing Guide: You can find lots of advice relating to essay writing at:

<http://www.huss.ex.ac.uk/politics/undergrad/polEssayWriting.pdf>

<http://www.services.ex.ac.uk/cas/employability/askills/essay/index.htm>

You can also find other useful advice related to general study skills at:

<http://www.services.ex.ac.uk/edu/student-learning-skills/resources.shtml>

Overlap of assessed work

Students are reminded that they are not permitted to submit the same piece of work for assessment in two different modules, or substantially reproduce essay or exam answers within modules. Essays or dissertations which are found to duplicate entirely, or in part, the work which a student has already submitted for assessment will be subject to a penalty depending on an assessment of the severity of the case. In extreme cases a mark of 0 might be awarded. Students who are concerned about possible overlap in their assessed work should seek advice from their Module Leaders. Students who are resitting modules where they are required to re-submit coursework in all modules (other than the dissertation) must ensure that the coursework is new work and has not previously formed part of any assignment assessed by the Department.

Essay marking

The following criteria will be used in assessing your essays:

1. Definition of the topic
 - Has the topic been clearly defined and directly addressed?

2. Structure of the essay
 - Does the introduction present a clear statement of the issues to be covered?
 - Does the essay have a clear structure or organisation in which a) the main points are developed logically; and b) the relevance of the material to the theme or argument is clear?
 - Is there an effective conclusion which draws together the main points?

3. Content
 - Is there evidence of adequate reading and research?

- Has the question been answered?
- Is the breadth of coverage adequate?
- Are the issues and ideas analysed in sufficient depth?
- Are arguments supported by evidence, examples, sources and quotations?

4. Analysis

- Are the arguments logical and consistent?
- Are opinions based on evidence and/or logic?
- Does the essay show evidence of original or independent thought?

5. Presentation

- Fluency and style of writing
- Spelling, grammar, paragraphing
- Presentation of data: effective use of figures and tables and correct use of units and quantities
- Neatness and legibility
- Sources: are sources acknowledged? Are references cited? Are references presented correctly?

Plagiarism

Cheating (plagiarism) is defined as any illegitimate behaviour designed to deceive those setting, administering and marking the assessment. Cheating may take various forms, including:

1.1 The use of unauthorized books, notes, electronic aids or other materials in an examination

1.2 Obtaining an examination paper ahead of its authorized release

1.3 Acting dishonestly in any way including the fabrication of data, whether before, during or after an examination or other assessment so as to either obtain or offer to others an unfair advantage in that examination or assessment;

1.4 Collusion i.e. the representation of another's work or ideas as one's own without appropriate acknowledgement or referencing, where the owner of the work knows of the situation and both parties work towards the deceit of marker. (In plagiarism the author of the work has not knowingly authorized the use of her or his work).

1.5 Plagiarism i.e. the act of representing another's work or idea as one's own without appropriate acknowledgement or referencing. There are three main types of plagiarism:

1.5.1 Direct copying from a book, article, fellow student's essay, student or lecturer's handout, thesis, web page or other source without proper acknowledgement.

1.5.2 Claiming individual ideas derived from a book, article, handout, thesis, web page or other source as one's own, and incorporating them into one's own work without acknowledging the source of these ideas.

1.5.3 Overly depending on the work of one or more works (as outlined in 1.5.1 above) without proper acknowledgement of the source. By, for example, constructing a piece of written work based on extracting large sections of text from another source and merely linking these together with a few of one's own sentences.

How to avoid being accused of plagiarism:

In order to avoid being accused of the more inadvertent forms of plagiarism you need to ensure that you adopt the following aspects of good practice:

2.1. Adopt a good note-taking technique.

2.1.1 Make sure while you are reading and taking notes that you keep accurate records of the author, title, and publication details of source, including page numbers (if relevant).

2.1.2 Make clear in your own notes where you have copied a quote word for word from your source, so that when you come to write up your notes you know which parts are in your own words, and which are in the words of your source.

2.1.3 Similarly, make clear in your own notes where you have taken an idea from your source.2.2 Accurate referencing - Make sure that you have referenced your work in accordance with the referencing guide set out in your departmental handbook; remember referencing conventions do vary between disciplines.

Plagiarism consists of any form of passing off, or attempting to pass off, the knowledge or work of others as one's own. It is a form of cheating. Examples of plagiarism include unattributed quotes from a book, magazine or article; copying from the notes or essays of others; the submission of work actually written or dictated by others; and unattributed use of other peoples' ideas. Remember, plagiarism includes information from books, newspapers, journals **and** the Internet. All work will be checked against specialist plagiarism software. You should be aware that University rules on plagiarism are strict and can result in failing the course and, at times, expulsion.



Reading - Core Texts:

Michael Howlett and M. Ramesh. Studying Public Policy: Policy Cycles and Policy Subsystems. Second Edition. Toronto: Oxford University Press, 2003 (**Ready Text**)

Hill, Michael (Ed). 1997. The Public Policy Process: A Reader. (Prentice Hall) (**Ready Text**) (Edited collection of original works)

Dunn, W. Public Policy Analysis: An Introduction (Englewood Cliffs, N.J.: Prentice-Hall, 1994) (**Ready Text**)

(all the above are in the library and can be purchased in the university bookshop)

Hill, Michael. 1997. The Policy Process in the Modern State Harvester Wheatsheaf, 3rd Edition. (**Ready Text**)

John, Peter. Analysing Public Policy (London: Pinter, 1998) (**Ready Text**)

Other useful books for coverage of the overall area of public policy include:

Peter Dorey, Policy Making in Britain (Sage, 2005)

Dunn, W. Public Policy Analysis: An Introduction (Englewood Cliffs, N.J.: Prentice-Hall, 1994)

Leslie Budd, Julie Charlesworth, and Rob Paton., Making Policy Happen (Routledge, 2006).

Frank Fischer, Reframing Public Policy (Oxford University Press, 2003)

David Richards and Martin Smith, Governance and Public Policy in the UK (Oxford, 2002)

M. A. Hajer and Hendrik Wagenaar, eds. Deliberative Policy Analysis (Cambridge, 2003)

Paul Sabatier, ed. Theories of The Policy Process, (Boulder: Westview Press, 1999)

Leslie A. Pal, Beyond Policy Analysis: Public Issue Management in Turbulent Times Second Edition.

Ideally, you should be aiming to read at least four items for each seminar. For your essays you should be consulting a minimum of eight pieces. Please keep in mind that module reading lists are only indicators of some relevant reading materials and you should browse the library shelves to find alternative sources that may give you a different perspective.

Much of the material we cover in this module can be accessed through textbooks; however, you should begin to familiarize yourself with Journal articles. Journals can be accessed and read online at: <http://lib.ex.ac.uk/search/s>

Web CT: There is also a web ct page set up for this course where lecture presentations and other sources can be downloaded. <http://exeter.blackboard.com/webct>

Some of the main journals relevant to this module are:

Journal of Public Policy, Public Administration, Policy and Politics, European Journal of Public Policy

A useful resource for conducting research is the Web of Science. This allows you to conduct searches of all the major academic journals. You can find details of the Web of Science at: <http://www.library.ex.ac.uk/guides/essentials/wos.pdf>. If you have any further questions please consult the Library staff.

ESSAY QUESTIONS

Essay questions for this semester must be chosen from the list below. The essays reflect the first two sections of the course (lectures 1-6; seminars 1-5). The examination will reflect the entire course including the third section. **All essay questions require an evaluation of both theories and examples from at least one country.** In addition to the readings on the module reading list, students should consult some of the key academic journals listed above. Other good information and analysis can be obtained from departmental web sites of the main UK government departments.

Essay Questions – please choose one

- 1) Are the main policy theories and approaches just efforts at classification or do they really allow us to explain policy decisions? Discuss with reference to any two of the main theories: pluralist; public choice; class; and neo-institutional approaches.
- 2) Does a rational “policy stages” model of policy making make practical sense or is it too simplistic for modern democratic politics? Discuss.
- 3) Are experimental research methods for evaluating the impacts of public policies realistic or are observational methods the best we can hope for? Discuss.
- 4) How do institutions shape policy? Discuss the relevance of neo-institutional theory with reference to any two of the following examples of institutions: a) Parliament; b) Cabinet and Cabinet Ministers; c) Interest or Pressure Groups; d) Quasi-autonomous government organizations (“Quangos”).
- 5) Do ideas really matter in policy making or are they just a form of subterfuge for self- interest and material interests? Discuss.
- 6) Does a credible theory of policy implementation exist or are students of policy making left only with case studies from which they can learn “illustrative lessons” about policy implementation? Discuss.
- 7) Policy instrument choice is simply a technical exercise involving means-ends decision-making. Discuss.
- 8) How does globalization and ‘governance’ more generally change the way in which public policy is made by the nation state? Discuss with reference to at least two of the core themes of the course (institutions, ideas and interests).

DETAILED SCHEDULE OF LECTURES, SEMINARS AND READINGS

SECTION 1: PERSPECTIVES ON PUBLIC POLICY

LECTURE 1: POLICY STUDIES: AN INTRODUCTION

This class introduces the overall purpose and structure of the module and previews its three main sections. The differing definitions of public policy are introduced as well as the role of different academic disciplines in the study and practice of public policy. The changing nature of public policy analysis over time is discussed. It also outlines the nature of presentations by students in tutorials, the nature of essay topics, and the basis of assessment and the broad nature of the final exam.

Questions/Issues:

- . What is a public policy?
- . How is a policy revealed?
- . Policy analysis & its historical development
- . How is the field of policy studies related to the study of politics and power?

Suggested Readings:

Howlett and Ramesh, Chapter 1, on "Policy Science and Policy Cycles".

Michael Hill, The Policy Process in the Modern State, Chapter 1

Minogue, Martin. Theory and Practice in Public Policy & Administration. In Hill (Ed) The Policy Process; A Reader. pp10-29.

Leslie A. Pal, Beyond Policy Analysis: Public Issue Management in Turbulent Times (Toronto: Nelson 1997) pp. 1-32.

Frank Fischer, Reframing Public Policy (Oxford University Press, 2003) pp. 1-47.

Peter John, Analysing Public Policy, Chapter 1 (general introduction to the study of public policy)

Peter John, Analysing Public Policy Chapter 2 (on the 'stages' approach to the study of the policy process)

Peter Dorey, Policy Making in Britain. Chapter 8 'From Government to Governance'

Pal, Leslie A. Beyond Policy Analysis. Chapters 1 & 2.

Richards and Smith, Chapter 6.

LECTURE 2: POLICY THEORY AND ANALYSIS

This class sets out the main models and approaches to the study of public policy: pluralist, public choice, class, and neo-institutional theories are surveyed and compared. The role of policy analysis within government (and stakeholder groups) is highlighted.

Seminar Questions/Issues:

- . What is the core logic of each of the main approaches to the study of public policy?
- . Where do the main approaches overlap with each other?
- . How is policy analysis in government different from the approaches used by political scientists to study policy?
- . How useful are rationalistic/ 'stages' conceptions of public policy making? (the last 2 questions cover some of the ground and readings from lecture 1)

Suggested Readings:

Howlett and Ramesh, Chapter 2 on "Approaches to Public Policy".

Michael Hill, The Policy Process in the Modern State, Chapters 2-4.

Michael Hill (Ed). The Policy Process: A Reader, Part II (Theories of the State) and Part III (The Policy Process)

McLennan, Gregor. 'The Evolution of Pluralist Theory'. In Hill (Ed) *The Policy Process: A Reader*.

Peter John, *Analysing Public Policy*, Chapter 4 – Group & Network Approaches (Pluralism)

Peter John, *Analysing Public Policy*, Chapter 5 – Socio-economic Approaches (Class)

Howlett and Ramesh, Chapter 7 on "Public Policy Decision-Making - Beyond Rationalism and Incrementalism".

R. Gregory. "Political Rationality or Incrementalism? Charles E. Lindblom's Enduring Contribution to Public Policy Making", *Policy & Politics*, 17:2 (1989), pp. 139-153.

Peter John, *Analysing Public Policy* Chapter 2 (on the 'stages' approach to the study of the policy process)

Hupe & Hill. The Three Action Levels of Governance: Re-framing the Policy Process Beyond the Stages Model. In In Peters & Pierre. *Handbook of Public Policy*. London, Sage.

"Symposium: Theories of the Policy Process", *Journal of European Public Policy* Vol. 7, No. 1, 2000, pp. 122-140.

Paul Sabatier, ed. *Theories of The Policy Process*, (Boulder: Westview Press, 1999), pp.3 -17 and 261-275.

Robert Bartlett and Priya A. Kurian, "The Theory of Environmental Impact Assessment: Implicit Models of Policy Making", Policy and Politics, Vol. 27, No. 4 1999, pp. 415- 433.

M. Hajer and Hendrik Wagenaar, eds. Deliberative Policy Analysis (Cambridge, 2003), pp. 1-30.

SECTION 2: POLICY-MAKING, THE POLICY PROCESS & EVALUATION

LECTURE 3: INSTITUTIONS

The purpose of this class is to focus more closely on the role of institutions in policy formation and implementation. The focus is on key policy institutions of the state: cabinet; government departments; Parliament; political parties and the courts but links to other para-public and governance institutions are also highlighted such as the mass media; the self-governing professions; and labour unions. The examination of institutions is also centred on how each of the main policy theories treats institutions either directly or implicitly. The varieties of neo-institutional theory receive special attention.

Seminar Questions/Issues:

- . Compare and contrast several of the ways in which institutions help shape policy and policy-making. Do you agree with the basic proposition that the shaping power of institutions is greater than, or can be greater than, that of markets and society?
- . How successfully have institutions been incorporated into our models of the formulation and determination of policy? What is the neo-institutionalist perspective? How persuasive do you find it?
- . Using specific examples from policy-making in Britain, assess and discuss the neo-institutionalist view that "institutions matter".

Suggested Readings:

Howlett and Ramesh, Chapter 3, "Policy Actors and Institutions", pp.52-86.

Peter Dorey, Policy Making in Britain. Chapters 3 & 4; Chapter 6

Michael Hill, *The Policy Process in the Modern State*, Chapter 5, p123-127.

Peter John, Analysing Public Policy, Chapter 3 (Ready Text)

March & Olsen, 'Institutional Perspectives on political institutions' (pp139-158), in Michael Hill (Ed) *The Policy Process: A Reader*

Julian Le Grand, Motivation, Agency and Public Policy (Oxford University Press, 2003) pp. 1-38.

Vivien Lowndes, "Varieties of New Institutionalism: A Critical Appraisal", *Public Administration*, Vol. 74. Summer 1996, pp. 181-197.

B. Guy Peters. "The Policy Process: An Institutional Perspective", Canadian Public Administration, 35 (summer 1992), pp. 160-180.

Michael M. Atkinson. "Public Policy and the New Institutionalism", in M.M. Atkinson, ed. Governing Canada: Institutions and Public Policy. Toronto: Harcourt Brace Jovanovich, 1993.

Eugene Bardach, Getting Agencies To Work Together (Washington: Brookings Institute, 1998), pp. 1-51.

LECTURE 4: INTERESTS & IDEAS/ VALUES

This lecture focuses on the influence of both interests and ideas in the policy process. "Interests" refer not only to interest or pressure groups but also to entities such as key large firms (e.g. BT) which have political power separate from the interest groups they might belong to. Interests also encompass the role of policy communities and networks. This segment also relates the analysis of interests to questions about the public interest including how these issues are conceptually viewed by various policy theories such as public choice, pluralism, and neo-institutionalism. How, is the public interest defined or forged in policy making? Thinking back to the previous session, a key concern is how interests and institutions relate to each other.

On ideas, the "purposefulness" of policy and the nature of policy discourse and advocacy are examined at several levels of categorization and analysis: ideologies; paradigms within policy fields (e.g. Keynesian macro economic policy); persistent or dominant ideas (e.g. efficiency; equity; stability); and sound-byte sloganeering. We also discuss agenda-setting: how do ideas shape what gets onto the policy agenda?

Seminar Questions/Issues:

Interests:-

If interests are increasingly central to policy making, how are they made more accountable? Why is it important to distinguish "Interests" From "Interest Groups" in understanding how the policy process works?

- . What do theories of Policy Networks and Policy Communities add to our understanding of policy formation?

Ideas/ Values:-

- . To what extent - and how - do ideas/ values influence public policy?
- . What is the role of the policy analyst: a) within government? b) working for an interest group?
- . What methodological problems are encountered in studying the impact of ideas in the policy process? How might they be minimized?
- . What is a Policy Paradigm? In what ways does a policy paradigm influence change in a policy field?

Suggested Readings on Interests:-

Howlett and Ramesh, Chapter 6. "Policy Formulation: Policy Communities And Policy Networks", pp.143-161.

M.J. Smith ‘Policy Networks’ in Michael Hill (Ed). The Policy Process: A Reader (pp.76-86)

Paul A. Sabatier, “The Advocacy Coalition Framework: Revisions and Relevance For Europe”, Journal of European Public Policy, Vol. 5, No. 1, 1998, pp. 98-130.

Peter Dorey, Policy Making in Britain. Chapter 5

Michael Hill, The Policy Process in the Modern State, Chapter 5, p109-123.

Michael Hill and Peter Hupe, Implementing Public Policy (London: Sage Publications, 2002), pp. 18-40.

Leslie A. Pal, Beyond Policy Analysis (Toronto: Nelson, 1997), pp. 187-232.

Jens Blom-Hansen, “A ‘New Institutional’ Perspective on Policy Networks” Public Administration, Vol. 75, no. 4, 1997, pp. 669-694.

B. Guy Peters. "Politicians and Bureaucrats in the Politics of Policy-Making," in Jan-Erik Lane, ed. Bureaucracy and Public Choice (London: Sage, 1987), pp. 255-282.

B. Guy Peters, American Public Policy (CQ Press, 2000) Sixth Edition, pp. 47-74 (on agenda-setting).

William Maloney, Grant Jordan and Andrew M. McLaughlin, “Interest Groups and Public Policy: the Insider/Outsider Model Revisited”, Journal of Public Policy, Vol. 14, No. 1, 1994, pp. 17-38.

Wyn Grant, “BSE and the Politics of Food”, in Patrick Dunleavy, et.al., Developments in British Politics 5 (London: MacMillan Press, 1997), pp. 342-354.

Sharon L. Sutherland. "The Public Service and Policy Development", in Michael M. Atkinson, ed. Governing Canada: Institutions and Public Policy. Toronto: Harcourt Brace Jovanovich, 1993.

Andrew Flynn, Terry Marsden and Michelle Harrison, “The Regulation of Food in Britain in the 1990s”, Policy and Politics, Vol. 27, No. 4, pp. 435-446.

J.J. Richardson, W.A. Maloney and W. Rudig. "The Dynamics of Policy Change: Lobbying and Water Privatisation", Public Admin., 70:2 (1992), pp. 157-175.

Suggested Readings on Ideas:

Howlett and Ramesh, Chapter 5, “Agenda-Setting: Policy Determinants, Policy Ideas, and Policy Windows”, pp. 119-142.

Peter John, Analysing Public Policy, Chapter 7 (Ready Text)

Jane J. Mansbridge. "The Rise and Fall of Self-Interest in the Explanation of Political Life", in Jane J. Mansbridge, ed. Beyond Self-Interest, Chicago: University of Chicago Press, 1990, pp. 3-22.

Pal, *Beyond Policy Analysis*. Chapter 3. 'Problem Definition in Policy Analysis'. (on agenda setting/ issue definition)

Thomas Birkland, "Focusing Events, Mobilization, and Agenda Setting", *Journal of Public Policy*, Vol. 18, No. 1, 1998, pp. 53-74.

Catherine Jones Finer, "Social Policy" (The Stakeholder Idea) in Patrick Dunleavy et. al. *Developments in British Politics 5* (London: MacMillan, 1997) pp. 304-325.

William Walters, "The 'Active Society': New Designs For Social Policy", *Policy and Politics*, Vol. 25, No. 3, 1997 pp. 221-234.

Giandomenico Majone. *Evidence, Argument and Persuasion in the Policy Process*. New Haven: Yale University Press, 1989, chpts. 1 & 2.

P. Self. *Government by the Market? The Politics of Public Choice*. Basingstoke: Macmillan, 1993.

Peter Hall. "Policy Paradigms, Experts and the State: The Case of Macroeconomic Policy-Making in Britain", in Alain-G. Gagnon and Stephen Brooks, eds. *Social Scientists, Policy and the State*. New York: Praeger, 1990, pp. 53-78.

W.I. Jenkins. *Policy Analysis: A Political and Organisational Perspective*. London: Martin Robertson, 1978.

LECTURE 5: STUDYING PUBLIC POLICY: METHODS FOR EVALUATING THEORY USING EVIDENCE

The first two topics covered the definition of public policy and theories of the policy process. The theories vary in scope but most aim to describe how policy is made and implemented, and many set out causal relations such that policy outcomes can be explained and policy interventions suggested to improve outcomes. This asks how should we evaluate these theories empirically; are they useful theories in terms of these aims?

There are many different approaches to empirical evaluation, and key distinctions are sometimes made between experimental and non-experimental methods. Experiments might be a good idea in principle, and there is currently a movement to try and do more of them in public policy, but it is hard to create experiments for some topics (its tricky to come up with treatment and control groups for policies affecting whole countries, and we can almost never randomly allocate political leaders!) so various forms of observational approach are often used. The lecture addresses qualitative (usually a single case study or a few cases) and quantitative (large number of cases) methods. How do these methods relate and why are there so many conflicts between those using different approaches? The lecture will include a 'hands on' example for attendees to participate in public policy survey research.

Seminar Questions/Issues:

- . What is the core of the experimental/non experimental approach to politics and public policy?
- . How do qualitative and quantitative methods relate to each other, are they complements, substitutes or incommensurate?

Suggested Readings:

Hoover, K and Donovan, T The Elements of Social Scientific Thinking 8th Edition (Wadsworth/Thomson 2004) (Ready Text)

King, G et al Designing Social Inquiry (Princeton University Press 1994) (Ready Text)

Brudney, JL and Meier, K Applied statistics for Public and Non-profit Administration Wadsworth/Thomson 2004)

Peter John, Analysing Public Policy (London: Pinter, 1998) (Ready Text)

Howlett and Ramesh, Chapter 9: Policy Evaluation

Peters & Pierre.2006. Handbook of Public Policy. London, Sage. Section 3: Evaluating Policy

LECTURE 6: POLICY INSTRUMENTS AND IMPLEMENTATION

This class explores the key issues and problems of understanding and analysing three of the main policy instruments available to policy makers: spending, taxation and regulation. These instruments are, on the one hand, seen as the “means” of policy making, but, on the other hand, they also are at the centre of key policy processes within the state and across countries (the tax process; the spending/budgetary process; and the regulatory process). The relationship of theories of instrument choice to theories and conceptions of policy implementation are also explored.

Seminar Questions/Issues:

- . Do theories of instrument choice offer a reasonable explanation of public policy-making?
- . What are some of the major challenges in understanding policy implementation?
- . What are the practical difficulties facing policy actors regarding implementation in the ‘congested’ state?

Suggested Readings:

Howlett and Ramesh, Chapter 4 on "Policy Instruments", pp. 87- 118

Howlett and Ramesh, Chapter 8 on "Policy Implementation - Policy Design and Implementation Styles".

Michael Hill, The Policy Process in the Modern State. Chapter 6 ‘Implementation’

Michael Hill (Ed) The Policy Process: A Reader, Part IV (Implementation)

Winter, Soren. ‘Implementation’. In Peters & Pierre. Handbook of Public Policy. London, Sage. (pp151-166)

Stephen Linder, and Guy Peters, "Instruments of Government: Perceptions and Contexts", Journal of Public Policy, Vol. 9, No. 1 (Jan-March, 1989), pp. 35-58.

Michael Hill and Peter Hupe, Implementing Public Policy (London: Sage, 2002), pp. 41-84.

Peter Dorey, Policy Making in Britain. Chapter 7

Susan M. Barrett, "Implementation Studies: Time for A Revival?", Public Administration, Vol. 82, No 2, 2004, pp. 249-262.

Jill Schofield and Charlotte Sausman, "Symposium on Implementing Public Policy: Learning From Theory and Practice", Public Administration, Vol. 82, No 2, 2004, pp.235-248.

Mark Exworthy and Martin Powell, "Big Windows and Little Windows: Implementation in the Congested State", Public Administration, Vol. 82, No 2, 2004, pp. 263-281.

Gordon Hughes, Robert Mears and Christopher Winch, "An Inspector Calls? Regulation and Accountability in Three Public Services", Policy and Politics Vol. 25, No. 3, 1997, pp. 299-314.

Michael Hill, "Implementation Theory: Yesterday's Issue?" Policy and Politics Vol. 25, No. 4, 1997 pp. 375-386.

Brian Hogwood and Lewis Gunn. "Why 'Perfect Implementation' is Unattainable", in Hill, ed. pp. 238-247.

Michael Lipsky. "Street-Level Bureaucracy: An Introduction", in Hill, ed. pp. 381-385

P. Sabatier and D. Mazmanian. "The Conditions of Effective Implementation: A Guide to Accomplishing Policy Objectives", Policy Analysis, 5 (1979), pp. 481-504.

Hans Th A. Bressers and Laurence J. O'Toole, "The Selection of Policy Instruments: A Networked-Based Perspective", Journal of Public Policy, Vol. 18, 3, September-December, 1998, pp. 213-239.

SECTION 3: POLICY INSTRUMENTS AND PROCESSES

LECTURE 7- TAXATION AND THE TAX PROCESS

This segment examines the nature of taxation and the tax policy process as a central instrument of policy and governance. The issues of tax policy are explored and linked to: the theories of tax inertia, tax reform; tax expenditures; and the broad politics of taxation. The concentration of power in tax policy institutions is examined as is the special character of taxation as a policy instrument. The nature and changing mix of particular types of taxation and revenue-raising are also compared including: income versus corporate taxes; consumption taxes; user fees and charges; and special earmarked taxes (e.g. green taxes)

Seminar Questions/Issues

- . What are the key characteristics of taxation as a policy instrument? How can it be described as political?
- . What factors cause tax reform to occur as distinct from on-going incremental tax change?
- . In the last decade governments have tended to reduce or stabilize income taxes but increase consumption taxes and charges. What tax or policy theory best explains this tendency?
- . How does a tax expenditure differ from a "real" or direct expenditure?

Suggested Readings

Sven Steinmo, "The Evolution of Policy Ideas: Tax Policy in the 20th Century", British Journal of Politics and International Relations, Vol. 5. No. 2, May 2003, pp. 206-236.

Gary Mucciaroni, "Public Choice and the Politics of Tax Reform", Governance, Vol. 3, No. 1 (January, 1990), pp.1-32.

Guy Peters, The Politics of Taxation (Oxford: Blackwell, 1991) Chapters 1 and 9.

Richard Rose and T. Karran, Taxation By Political Inertia (London: MacMillan, 1986) Chapter 1.

Christopher Hood, Explaining Economic Policy Reversals (Buckingham: Open University Press, 1994), Chapter 6.

Desmond King "Government Beyond Whitehall", in Patrick Dunleavy, A. Gamble, Ian Holliday and Gillian Peele, eds. Developments in British Politics 4 (London: MacMillan, 1994), pp. 194-220.

Gavin Kelly, "Economic Policy", in Patrick Dunleavy et.al. Developments in British Politics 5 (London: MacMillan, 1997), pp. 279-303.

LECTURE 8: SPENDING AND THE BUDGETARY PROCESS

This segment examines the nature of spending and the budgetary process as a central instrument of policy and governance. The issues of public spending are explored and linked to: the theory of spenders and guardians; bureau-shaping theory and budgetary institutions; the nature of spending as a policy instrument; and the different character of spending in different policy fields (subsidies; partnership-based or levered grants; transfers to individuals; capital spending as investment activity). Also examined are the changing politics of spending from the era of deficits to the era of surpluses.

Seminar Questions/Issues

- . What are the key characteristics of spending as a policy instrument?
- . Why are there more spenders than guardians in democratic government?

- . Does the theory of the bureau explain the growth of spending? The contraction of spending?
- . How does the adoption of an "internal market" as in the NHS, change the budgetary process?

Suggested Readings:

Wildavsky, Aaron, Budgeting: A Comparative Theory of Budgetary Processes. Second Edition (New York: Transaction Books, 1986) Chapters 1 and 2.

Bruce Doern, Allan Maslove and Michael Prince, Budgeting in Canada (Ottawa: Carleton University Press, 1988), Chapter 11

Rubin, Irene S. 2006. 'Budgeting'. In Peters & Pierre. Handbook of Public Policy. London, Sage.

Patrick Dunleavy, Democracy, Bureaucracy and Public Choice (London: Harvester Wheatsheaf, 1991), Chapters 6, 7 and 8.

Richard Parry, Christopher Hood and Oliver James, "Reinventing the Treasury: Economic Rationalism or An Econocrats Fallacy of Control?", Public Administration Vol. 75, No. 3, 1997, pp. 395-416.

Bob Hudson, "Quasi-Markets in Health and Social Care in Britain: Can the Public Sector Respond?", Policy and Politics, Vol. 20, No. 2 (April, 1992), pp. 131-142.

Oliver James 2004. 'The UK Core Executive's Use of Public Service Agreements as a Tool of Governance' Public Administration Vol. 82, No. 2, pp. 397-418.

Rob Baggott, "Evaluating Health Care Reform: The Case of the NHS Internal Market", Public Administration, Vol. 75 (Summer, 1997), pp. 283-306.

Paul Foley, "Competition as Public Policy: A Review of Challenge Funding", Public Administration Vol. 77, No. 4, 1999, pp. 809-836.

Marc Robinson, "Contract Budgeting", Public Administration, Vol. 78, No. 1, 2000, pp. 75-90.

Eric M. Patashnik, "Ideas, Inheritances, and the Dynamics of Budgetary Change", Governance, Vol. 12, No. 2, April 1999, pp. 147-174.

Robert Ackrill, "The European Union Budget, The Balanced Budget Rule and the Development of Common European Policies", Journal of Public Policy, Vol. 20, No. 1, January-April, 2000, pp. 1-19

LECTURE 9: REGULATION AND THE REGULATORY PROCESS

This class examines the nature of regulation and the regulatory policy process as a central instrument of policy and governance. The issues of regulation are explored and linked to: the theories of regulatory capture, deregulation; and regulatory reform; The nature of regulatory

policy institutions are examined and also the special character of regulation as a policy instrument. The nature and changing mix of particular types of regulation are also compared including: delegated legislation; guidelines; codes and standards. Often this is tied to discussion of the pressures to change regulation from a “command and control” approach to an “incentive-based” approach. The issues of comparing economic versus social regulation are also highlighted.

Recently, a literature has developed taking a regulatory perspective on the internal control of government (ie where one part of government regulates another part). This form of regulation has involved more external checking of public bodies’ performance (for example hospital and schools being given targets for achievement of outcomes, the placing of such bodies in league tables for their performance).

Seminar Questions/Issues

- . What are the key characteristics of regulation as a policy instrument?
- . The last 15 years has been called an era of "deregulation". If so why has regulation increased during this period in the UK and elsewhere?
- . What is the theory of regulatory capture and is it a convincing theory?
- . What is unique about the "UK Model" of utility regulation?
- . Can regulation of government be used to control the public sector?

Suggested Readings on regulation

Giandomenico Majone, ed. Regulating Europe (London: Routledge, 1996), Chapter 3, pp. 47-60.

Greg Palast, J. Oppenheim, and T. MacGregor, Democracy and Regulation (London: Pluto Press, 2003) pp. 1-27.

Claudio Radaelli, “The Puzzle of Regulatory Competition”, Journal of Public Policy, Vo. 24, No. 1, pp. 1-23.

Bruce Doern, Red Tape, Red Flags: Regulation for the Innovation Age (Conference Board of Canada, 2007).

John Burton, "The Competitive Order or Ordered Competition? The UK Model of Utility Regulation in Theory and Practice", Public Administration Vol. 75, No. 2 pp. 157-188.

Leigh Hancher and Michael Moran, eds. Capitalism, Culture and Regulation, Oxford: Clarendon Press, 1989, pp. 1-10 and 271-300.

Steven K. Vogel, “International Games With National Rules: How Regulation Shapes Competition in Global Markets”, Journal of Public Policy, Vo. 17, No. 2, 1997, pp. 169-193.

J. Gregory Sidak and Daniel F. Spulber, “Deregulation and Managed Competition in Network Industries” Yale Journal of Regulation, Vol. 15, No. 1, 1998 pp. 117-148.

Claudio M. Radaelli, "Steering the Community Regulatory System: The Challenges Ahead", Public Administration, Vol. 77, No. 4 1999, pp. 855-871.

Makkai, Toni and John Braithwaite, "In and Out of the Revolving Door: Making Sense of Regulatory Capture", Journal of Public Policy, Vol. 12, Part 1 (January-March, 1992), pp. 61-78.

Giandomenico Majone, "Cross-National Sources of Regulatory Policymaking in Europe and the United States", Journal of Public Policy, Vol. II Part I (January-March, 1991), pp. 79-106.

Richard A. Harris, The Politics of Regulatory Change: A Tale of Two Agencies (Oxford: Oxford University Press, 1989) Chapters 1 and 2.

David Levi-Faur, "The Governance of Competition: The Interplay of Technology, Economics and Politics in European Union Electricity and Telecom Regimes", Journal of Public Policy, Vol. 19, No. 2, 1999, pp. 175-207.

Giandomenico Majone, "Paradoxes of Privatization and Deregulation", Journal of European Public Policy, Vol. 1, No. 1 (June, 1994), pp. 53-69.

Bruce Doern and Stephen Wilks, eds. Changing Regulatory Institutions in Britain and North America (Toronto: University of Toronto Press, 1998), Chapter 1.

Suggested Readings on regulation of government (ie regulation of public bodies such as schools, hospitals, local governments by higher level government units such as central government):

Hood, C.C., O. James, CW Scott, G.W. Jones and T. Travers 1999. Regulation inside Government: Waste Watchers, Quality Police and Sleazebusters Oxford, Oxford University Press.

Oliver James 2000. 'Regulation inside Government: Public Interest Justifications and Regulatory Failures' Public Administration Vol. 78, No. 2, pp. 327-343.

Hood, CC. et al 2004. Controlling Modern Government, Cheltenham Edward Elgar.

LECTURE 10: POLICY THEORY AND PRACTICE (REVIEW & REVISION SESSION)

This is a review segment in which the focus is to provide a final overall view about the links and disjunctures between policy theory and analysis and the practice of policy formation in government and governance. It also examines how government can improve its ability to use social science research to inform policy making.

Students will have the opportunity to ask questions about the module as a whole and in preparation for the take-home examination.