

PPOL 5110/SOSC 5780: Foundation of Public Policy

Syllabus v 1.0

Fall 2017

Logistics:

Wednesdays, 1:30-4:20pm

Room 5506

Instructor:

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Room 4616D (PPOL Offices)

X8400

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Office Hours:

TBD

Course Website:

<https://canvas.ust.hk/courses/14486>

I cannot emphasize enough how important the website is. This is where I will post readings, assignments, announcements, and all other sorts of pertinent tidbits. If you have a question (or if/when the syllabus doesn't match Canvas), please email me, of course. But first - check Canvas!

I. Overview:

This course provides the scholarly underpinnings required for research in public policy. Of course, the scholarly literature in the field is vast, and we can't possibly cover it all in one semester. None the less, we will cover many of the core concepts, with a focus on how the study of public policy has evolved, and possible future directions for the discipline. While we will read a fair bit of theory, public policy is fundamentally interested in understanding, and solving, real problems for real people. As such, we will endeavor to link these theories to empirical examples via case studies, in the same manner that we do in policy research work. Consider this an empirically informed (or engaged) theory course.

Public policy is also interdisciplinary and integrative – as such, we will be integrating works from economics, political science and other related disciplines.

Finally, we will also consider the methodological aspects of the different theories and frameworks that we will encounter. This is not a research methods course per se, but part of wrestling with different theories of policy-making and implementation is understanding how to test our ideas in the messy real world. This will be important for the development of your own research projects (and your future scholarly endeavors).

My expectation is that you will approach the material critically, and apply topics across the course. You also may have noticed that you are studying this topic at HKUST, which has emerged as one of the top universities in the world for science and engineering. We will take advantage of this, and will take time to consider the role of policy in science and technology- and also how scientific (and other) forms of knowledge are used to inform policy. While we will take up cases from a range of policy areas, students will be expected to view the policy scholarship through the lens of its relevance to areas where science, engineering and technology intersect with public policy. To emphasize this area, the final week of teaching/seminar (before student presentations) will focus on issues of science advice, and the role of scientific knowledge in public policy.

Intended Learning Outcomes:

- Identify, define and discuss complex policy problems from the perspective of policy science
- Acquire the critical thinking and research skills essential for policy research
- Apply a range of qualitative and quantitative research methods for policy research
- Exercise independent and critical judgments in the debates about public policy

II. Assignments:

Grading:

1. Short essays: 2 x 10%
2. Term paper: 50%
3. Presentation: 15%
4. Class participation (discussion questions, empirical cases, reading summaries, attendance/participation): 15%

Class Participation:

Part of transitioning to research degrees is learning to become an independent scholar. Please come to class prepared to discuss and debate. This is a small seminar, so hiding in the back is not an option. (See 'Rules of Road' for more details). There are a number of different 'participation' assignments for this course, all of which will be marked credit/no credit. These are all designed to make our three hour sessions interesting and engaged, and to give you a bit of structure as you work through the readings each week.

Reading Summaries:

This course has a large and extensive reading list. Some of the time we will be using textbooks and handbooks, some of the time academic books, and some of the time journal articles. It is likely that there will be more on the list that you can realistically read and prepare each week (see notes on the reading list to indicate supplementary readings).

However, as a group, you are definitely capable of covering it all. Each week, you will be assigned a particular reading. For that reading, you need to write, and post to Canvas, a summary (the format will be posted on Canvas) of the reading. You will also need to be prepared to discuss it in class. Eventually,

we will end up with a large bank of summaries of the reading, something that can be very useful for future research, writing, etc...

Empirical Cases

Policy is fun because it's all around us, all of the time! Each week, one of you will be assigned to find a (longish) news or (short) academic article on the week's topic. We'll read them in class, and discuss them in the context of that week's topic. This way, we can be sure to cover a range of policy areas, geographies, etc...that cover everyone's interests. It's also good practice for reading about real policy events with a critical eye, and applying theory in these cases.

Discussion Questions

Every week, students will be assigned to post (at least) 2-3 discussion questions to Canvas the night before class. These will help us to get the discussion rolling.

Written Assignments (Essays, Final Paper) and Presentation

There will be two short essays (~2-3000 words) and one longer final paper (5-7000 words). More details of these will be posted on Canvas. The last week of class will be presentations, based on your final paper. The short essays will be based on questions that I will provide; the final paper is on a topic of your choice. Everyone needs to discuss their topics with me, for approval, no later than week 7.

III. Rules of the Road:

This class is designed for research post-graduates (TPG's welcome, of course!), which means students who are in the process of becoming independent scholars. As such, we would like to model *best practice* in the classroom. First and foremost, this requires that you come to class prepared. I am not lecturing for three hours a day- a whole lot of the 'heavy lifting' this semester will be done by you.

In particular, this means that it's fine to disagree and debate, but that we remain civil (no personal attacks, etc...). Furthermore, policy can bring out heated differences of opinion, so we will also work to separate our own personal values from our academic arguments. That being said, our experiences in the world of policy are of great value, so please share! Experiences and opinions are great, but recognize them as such, and their limitations in arguments. Let's aim to have constructive debates.

Another matter of great importance in academic scholarship is honesty and integrity in terms of giving credit to the ideas and work of others. I expect you to cite your sources properly in all of your work (when in doubt, over cite, or come to me and ask). Avoid copying and pasting others' writings into your essays/papers. Plagiarism and cheating will not be tolerated in this class- I take it extremely seriously.

I expect all work to be handed in on time. If need an extension, please come discuss with me (preferably ahead of time, when possible). Late assignments will be penalized 3 points per day late. Work that is not handed in at all will earn a 0.

IV. Weekly Reading Assignments:

This course has A LOT of readings. That is generally the nature of this sort of foundation course. I fully recognize that you will not be able to read your way through everything each week. But here are a few hints:

1. Start with the textbook/handbook overviews. These give you some context and background for the rest of the readings that week.
2. There is no exam. You are not expected to memorize all of this. So read to get the major points and ideas first and foremost. When really pressed for time, at least go through the introductions and conclusions, and then skim the rest.
3. As you read a piece, ask yourself why it is on the list, and how it relates to other pieces you are reading that week (and in previous weeks). The topics we cover each week are very closely related, so try to draw the connections as best you can.
4. If you get caught up on something, bring your questions up in class. Chances are you aren't the only one with that question. And your peers might have some of the best answers. Also come to office hours and ask – I'm happy to help with anything you're finding a bit tricky.

Required Text (we use this a lot- it will likely be much easier if you purchase a copy from Book Depository or Amazon):

1. M. Howlett, M. Ramesh, and A. Perl, Studying Public Policy (Toronto: Oxford University Press, 2009)

Recommended Text:

1. Frank Fischer, Gerald J. Miller and Mara S. Sidney eds. Handbook of Public Policy Analysis: Theory, Politics and Methods, ed.. Boca Raton: CRC Press, 2007

Great Books for your Collection:

1. Sabatier, Paul A. Theories of the Policy Process. New York: Westview Press, 2014
2. Stone, D. A. Policy Paradox: The Art of Political Decision Making. Norton New York, 2002.
3. Moran, Rein, Goodin, Moran, Michael, Rein, Martin, & Goodin, Robert E. (2006). The Oxford handbook of public policy (The Oxford handbooks of political science). Oxford ; Hong Kong: Oxford University Press.

Week 1: Overview

Howlett, Michael, Anthony Perl and M. Ramesh. Studying Public Policy: Policy Cycles and Policy Subsystems. Toronto: Oxford University Press, 2009 Chapters 1 & 2

Wil A. Thissen & Warren E. Walker, eds. (2013), *Public Policy Analysis: New Developments* (Chapter 1 + 2) (online via the library)

Page, Edward C. (2006) The origins of policy. In: Moran, Michael and Rein, Martin and Goodin, Robert E., (eds.) *Oxford handbook of public policy*. Oxford University Press, Oxford, UK, pp. 207-227.

Stone, D. A. *Policy Paradox: The Art of Political Decision Making*. Norton New York, 2002. Chapter 1

Jann, Werner, and Kai Wegrich. 2007. "Theories of the Policy Cycle." In Handbook of Public Policy Analysis: Theory, Politics and Methods, ed. Frank Fischer, Gerald J. Miller and Mara S. Sidney. Boca Raton: CRC Press, 43-62.

Cairney, Paul, and Tanya Heikkila. "A comparison of theories of the policy process." *Theories of the policy process* 3 (2014).

Sabatier, Paul A. "Toward Better Theories of the Policy Process." PS: Political Science and Politics. 24, no. 2 (1991): 144-156.

Skok, J. E. 1995. "Policy Issue Networks and the Public Policy Cycle: A Structural-Functional Framework for Public Administration." Public Administration Review 55 (4): 325-32.

Supplemental:

Cairney, Paul. *Understanding public policy: Theories and issues*. Palgrave Macmillan, 2011. [this is a nice intro to the question: What is Public Policy?]

Stokes, D.E. & Brookings Institution, 1997. *Pasteur's quadrant: basic science and technological innovation*, Washington, D.C.: Brookings Institution Press.. Chapter 3 (required in Week 12)

Week 2: Policy Cycles: Agenda-Setting

Howlett, Michael, Anthony Perl and M. Ramesh. Studying Public Policy: Policy Cycles and Policy Subsystems. Toronto: Oxford University Press, 2009 Ch 4

Stone, Deborah A. "Causal stories and the formation of policy agendas." *Political science quarterly* 104.2 (1989): 281-300.

Birkland, Thomas A., 2007. "Agenda Setting in Public Policy" In Handbook of Public Policy Analysis: Theory, Politics and Methods, ed. Frank Fischer, Gerald J. Miller and Mara S. Sidney. Boca Raton: CRC Press, 63-78.

Kingdon, John W. Agendas, Alternatives and Public Policies. Boston: HarperCollins College Publishers, 1995.

Cobb, R., J.K. Ross, and M.H. Ross. "Agenda Building as a Comparative Political Process." American Political Science Review. 70, no. 1 (1976): 126-138.

Week 3: Policy Cycles: Formulation

Howlett, Michael, Anthony Perl and M. Ramesh. Studying Public Policy: Policy Cycles and Policy Subsystems. Toronto: Oxford University Press, 2009 Ch 5

Mara S. Sidney, 2007. "Policy Formulation: Design and Tools." In Handbook of Public Policy Analysis: Theory, Politics and Methods, ed. Frank Fischer, Gerald J. Miller and Mara S. Sidney. Boca Raton: CRC Press, 79-87.

Linder, Stephen H. and B. Guy Peters. "Policy Formulation and the Challenge of Conscious Design." Evaluation and Program Planning. 13(1990): 303-311.

Hood, C and Margetts, H (2007) The tools of government in a digital age, Palgrave. Chapter

Howlett, Michael. 2009. "Policy Analytical Capacity and Evidence-Based Policy-Making: Lessons from Canada." Canadian Public Administration 52 (2). 153-175

Robert, C and Zeckhauser, R (2011) 'The methodology of normative policy analysis' Journal of Policy Analysis and Management 30(3): 613-643.

Week 4: Policy Cycles: Decision-Making

Howlett, Michael, Anthony Perl and M. Ramesh. Studying Public Policy: Policy Cycles and Policy Subsystems. Toronto: Oxford University Press, 2009 Ch 6

Clinton J. Andrews, 2007. "Rationality in Policy Decision Making." In Handbook of Public Policy Analysis: Theory, Politics and Methods, ed. Frank Fischer, Gerald J. Miller and Mara S. Sidney. Boca Raton: CRC Press, 43-62.

Simon, Herbert A. "The Structure of Ill Structured Problems." Artificial Intelligence. 4(1973): 181-201.

Lindblom, Charles E. "The Science of Muddling Through." Public Administration Review. 19, no. 2 (1959): 79-88.

Cohen, M., J. March, and J. Olsen. "A Garbage Can Model of Organizational Choice." Administrative Science Quarterly. 17, no. 1 (1972): 1-25.

Teisman, Geert R. "Models for Research into Decision-Making Processes: On Phases, Streams and Decision-Making Rounds." Public Administration. 78, no. 4 (2000): 937-956

Week 5: Policy Cycles: Implementation

Howlett, Michael, Anthony Perl and M. Ramesh. Studying Public Policy: Policy Cycles and Policy Subsystems. Toronto: Oxford University Press, 2009 Ch 7

Helga Puzl and Oliver Treib, 2007. "Implementing Public Policies." In Handbook of Public Policy Analysis: Theory, Politics and Methods, ed. Frank Fischer, Gerald J. Miller and Mara S. Sidney. Boca Raton: CRC Press, 89-108.

Goggin, Malcolm L. et al. Implementation Theory and Practice: Toward A Third Generation. Glenview: Scott, Foresman/Little, Brown, 1990.

O'Toole, Laurence J. "Research on Policy Implementation: Assessment and Prospects." Journal of Public Administration Research and Theory. 10, no. 2 (2000): 263-288.

Week 6: Policy Cycles: Evaluation

Howlett, Michael, Anthony Perl and M. Ramesh. Studying Public Policy: Policy Cycles and Policy Subsystems. Toronto: Oxford University Press, 2009 Ch 8

Hellmut Wollmann, 2007. "Policy Evaluation and Evaluation Research." In Handbook of Public Policy Analysis: Theory, Politics and Methods, ed. Frank Fischer, Gerald J. Miller and Mara S. Sidney. Boca Raton: CRC Press, 393-404.

Bennett, C. J., and M. Howlett. 1992. "The Lessons of Learning: Reconciling Theories of Policy Learning and Policy Change." Policy Sciences 25 (3) 275-94.

Geva-May, Iris. "When the Motto is 'Till Death Do Us Part': The Conceptualization and the Craft of Termination in the Public Policy Cycle." International Journal of Public Administration. 24, no. 3 (2001): 263-288.

Week 7: Policy Styles and Policy Change

Howlett, Michael, Anthony Perl and M. Ramesh. Studying Public Policy: Policy Cycles and Policy Subsystems. Toronto: Oxford University Press, 2009 Ch 9

Capano, Giliberto. 2009. "Understanding Policy Change as an Epistemological and Theoretical Problem", Journal of Comparative Policy Analysis: Research and Practice 11 (1): 7-31.

Baumgartner, F. R., and B. D. Jones. 2002. "Positive and Negative Feedback in Politics." In Policy Dynamics, ed. F. R. Baumgartner and B. D. Jones. Chicago: University of Chicago Press.

Clemens, Elisabeth S. and James M. Cook. "Politics and Institutionalism: Explaining Durability and Change." Annual Review of Sociology. 25(1999): 441-466.

Week 8: Policy Regimes: Role of Ideas

Howlett, Michael, Anthony Perl and M. Ramesh. Studying Public Policy: Policy Cycles and Policy Subsystems. Toronto: Oxford University Press, 2009 Ch 3 (sections on Ideas).

Campbell, J. L. 1998. "Institutional Analysis and the Role of Ideas in Political Economy." Theory and Society 27 (5): 377-409.

Hall, Peter A. "Policy Paradigms, Social Learning and the State: The Case of Economic Policy Making in Britain." Comparative Politics. 25, no. 3 (1993): 275-96.

Blyth, Mark M. "'Any More Bright Ideas?' The Ideational Turn of Comparative Political Economy." Comparative Politics. 29(1997): 229-250.

Braun, D. 1999. "Interests Or Ideas? an Overview of Ideational Concepts in Public Policy Research." In Public Policy and Political Ideas, ed. D. Braun and A. Busch. Cheltenham: Edward Elgar, 11-29.

Chadwick, Andrew. "Studying Political Ideas: A Public Political Discourse Approach." Political Studies. 48(2000): 283-301.

Schmidt, Vivien A. 2008. "Discursive Institutionalism: The Explanatory Power of Ideas and Discourse." Annual Review of Political Science 11:303-26.

Week 9: Policy Regimes: Role of Institutions

Howlett, Michael, Anthony Perl and M. Ramesh. Studying Public Policy: Policy Cycles and Policy Subsystems. Toronto: Oxford University Press, 2009 Ch 3 (sections on Institutions)

Weaver, R. Kent and Bert A. Rockman. "When and How do Institutions Matter?" In R. K. Weaver and B. A. Rockman, ed(s), Do Institutions Matter? Government Capabilities in the United States and Abroad, Washington, D.C.: Brookings Institutions, 1993. 445-461.

March, J. G., and J. P. Olsen. 1996. "Institutional Perspectives on Political Institutions." Governance 9 (3): 247-64.

Hall, P. A., and R. C. R. Taylor. 1996. "Political Science and the Three New Institutionalisms." Political Studies 44 : 936-57.

Mahoney, James. "Path Dependence in Historical Sociology." Theory and Society. 29, no. 4 (2000): 507-548.

Week 10: Policy Regimes: Role of Actors

Howlett, Michael, Anthony Perl and M. Ramesh. Studying Public Policy: Policy Cycles and Policy Subsystems. Toronto: Oxford University Press, 2009 Ch 3 (sections on Actors)

Hugh T. Miller and Tansu Demir, 2007. "Policy Communities." In Handbook of Public Policy Analysis: Theory, Politics and Methods, ed. Frank Fischer, Gerald J. Miller and Mara S. Sidney. Boca Raton: CRC Press, 137-147

Jorg Raab and Partick Kenis, 2007. "Taking Stock of Policy Networks: Do They Matter?"-. In Handbook of Public Policy Analysis: Theory, Politics and Methods, ed. Frank Fischer, Gerald J. Miller and Mara S. Sidney. Boca Raton: CRC Press, 187-200..

Hecl, Hugh. "Issue Networks and the Executive Establishment." In A. King, ed(s), The New American Political System, Washington D.C.: American Enterprise Institute for Public Policy Research, 1978. 87-124.

Sabatier, Paul A. "An Advocacy Coalition Framework of Policy Change and the Role of Policy-Oriented Learning Therein." Policy Sciences. 21, no. 2/3 (1988): 129-168.

Week 11: Policy Implementation & Public Administration

Hood, C (2005) 'Public Management: The Word, the Movement, the Science' in E. Ferlie, L. Lynn and C. Pollitt (eds) The Oxford Handbook of Public Management, (Oxford: Oxford University Press), pp. 7-26

Rainey, Hal G., and Young Han Chun. "Public and private management compared." (2005).

Le Grand, J (2003) Motivation, Agency, and Public Policy, Oxford University Press, chapters 2-4 (esp. 4).

Lipsky, M (1980) Street-level bureaucracy, chapters 1 & 6 (2 & 5 constitute further reading).

Christensen, Tom. "Smart policy." The Oxford Handbook of Public Policy, Oxford University Press, Oxford (2006): 448-468.

Howlett, M (2000) 'Managing the "hollow state": procedural policy instruments and modern

Bressers, H, de Bruijn, T, Lulofs, K and O'Toole, L (2011) 'Negotiation-based policy instruments and performance' Journal of Public Policy, 31(2): 187-208

Elmore, R.(1979). "Backward Mapping: Implementation Research and Policy Decision," *Political Science Quarterly*, Winter, 601-616

Week 12: Science and Public Policy

Stokes, D.E. & Brookings Institution, 1997. *Pasteur's quadrant: basic science and technological innovation*, Washington, D.C.: Brookings Institution Press.. Chapter 1

Van Kerkhoff, L. & Lebel, L., 2006. Linking knowledge and action for sustainable development. *Annu. Rev. Environ. Resour.*, 31, pp.445-477.

Ezrahi, Y., 1980. Utopian and pragmatic rationalism: The political context of scientific advice. *Minerva*, 18(1), pp.111-131.

Funtowicz, S O and J R Ravetz(1993). "Science for the post-normal age". *Futures* 25.7, pp.739–755.

Lindblom, C.E. & Cohen, D.K., 1979. *Usable knowledge: Social science and social problem solving*, Yale Univ Pr.

Pielke, R.A. 2007. *The honest broker: making sense of science in policy and politics*, Cambridge Univ Press.

Cash, David W., et al. "Knowledge systems for sustainable development." *Proceedings of the National Academy of Sciences* 100.14 (2003): 8086-8091.

Week 13: Student Presentations