

**CEU SPP**  
**Policy analysis**  
**2021-22**

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| Instructors:          | Agnes Batory, Cristina Corduneanu-Huci, Mihaly Fazekas              |
| Teaching assistant:   | Bernadett Sebaly  |
| Class times:          | Tuesdays 10:50; Wednesdays 10:50, 15.40                             |
| Credits:              | 2 CEU credits, 4 ECTS   |
| Requirements: Regular | participation, student input/presentation, final paper (3000 words) |

### **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**

- Regular participation in class discussions and group work (10 %)
- Presentation/interactive student input, in teams (30 %), for online classes: short webinar has to be submitted prior to the class. Instructions will follow.
- Final paper/Policy Brief (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. Presentations critically assess indicated readings (required and recommended) and provide clear added value, for instance by using an empirical example/case illuminating arguments 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 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 3.000 words, excluding the bibliography (+/- 10% is acceptable). The assignment takes the form of a regular academic paper (discussing, e.g., one of the questions posed for the sessions through the literature) or a policy brief.

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.

An abstract of the proposed 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) (bullet-point style is encouraged): 1) To whom the policy brief is addressed? 2) What is the policy problem at hand? and 3) Which of the theoretical models covered in the course does it apply?

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

The paper should be single-spaced, appropriately referenced, and include the word count on the title page. 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.

### **Prerequisites:**

None. Students new to policy studies may wish to consult any of the standard textbooks on the subject in the library.

## Course Overview

| #  | Week starting | Instructor | Title  | Topics  |
|----|---------------|------------|--|---|
| 1  | 20/9/2021     | CCH        | Introduction                                   | What are public policy problems?<br>Policy analysis in theory and practice                                    |
| 2  | 27/9/2020     | MF         | Evidence based policy making?                  | To what degree and under which conditions scientific and statistical evidence matter in policy making?        |
| 3  | 4/10/2021     | AB         | The stages approach to policy studies          | How can we conceptualize the policy process? Introduction to the policy cycle                                 |
| 4  | 11/10/2021    | AB         | Agenda setting                                 | Why and how do issues become important for the policy agenda?   |
| 5  | 18/10/2021    | AB         | Policy transfer and diffusion                  | Borrowing foreign models; Policy learning – how when and from whom?   |
| 6  | 25/10/2021    | TA         | Policy formulation & decision making           | How are policies formulated? What are the most common policy instruments?                                     |
| 7  | 1/11/2021     | MF         | Policy implementation                          | What are the key challenges of putting policies into practice?  |
| 8  | 8/11/2021     | CCH        | Compliance                                     | Why do target groups comply (or fail to comply) with policies?  |
| 9  | 15/11/2021    | CCH        | Evaluation                                     | Which methods are used for policy evaluation? How can evaluation remain objective in a political environment? |
| 10 | 22/11/2021    | CCH        | Policy success and failure, policy termination | How can we establish whether a policy succeeded? What are the main, common causes of policy failure?          |
| 11 | 29/11/2021    | MF         | Critique and context for policy making         | What are the main shortcomings of the policy cycle theory?  |
| 12 | 6/12/2021     | MF         | Summary and conclusion                         | Conclusion  |

## Detailed schedule of sessions

| # | Instr. | Description   |
|---|--------|---|
| 1 | CCH    | <p><b>Introduction: why are we here?</b></p> <p><b>Guiding questions:</b></p> <ul style="list-style-type: none"> <li>- What is public policy?</li> <li>- How to approach and understand the process of policy making and its outputs?</li> <li>- Which factors determine policies and their results?</li> </ul> <p><b>Required readings:</b></p> <ul style="list-style-type: none"> <li>- M. Hill, (2005), studying the policy process. in The Public Policy Process, Pearson 2005, Chapter 1.</li> </ul>   |
| 2 | MF     | <p><b>Evidence-based policy-making</b></p> <p>Guiding questions:</p> <ul style="list-style-type: none"> <li>- To what degree and under which conditions scientific and statistical facts matter in policy making?</li> <li>- 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?</li> <li>- What is the role of 'experts' in the policy-making process? What is the relationship between academia and government?</li> </ul> <p><b>Required readings:</b></p> <ul style="list-style-type: none"> <li>- Brian W. Head, 'Three Lenses of Evidence-Based Policy', Australian Journal of Public Administration 67 (2008): 1, pp 1-11.</li> <li>- Kenneth E Warner, Jamie Tam, 'The tobacco epidemic today: The impact of tobacco control research on policy: 20 years of progress'. Tobacco Control 2012;21:2 103-109</li> </ul> <p><b>Recommended readings:</b></p> <ul style="list-style-type: none"> <li>- Frey Katrin (2010). Revising Road Safety Policy: The Role of Systematic Evidence in Switzerland. In Governance 23(4), p. 667-690.</li> <li>- Richard Freeman (2007) Epistemological Bricolage How Practitioners Make Sense of Learning. Administration &amp; Society, 39(4), p. 476-496</li> <li>- Wayne Parsons, 'From Muddling Through to Muddling Up - Evidence Based Policy Making and the Modernisation of British Government' Public Policy and Administration Autumn 2002 17: 43-60</li> <li>- Fazekas M and Burns T (2012) Exploring the complex interaction between governance and knowledge in education. OECD Education Working Papers No. 67. OECD Publishing. <a href="http://dx.doi.org/10.1787/5k9flcx2l340-en">http://dx.doi.org/10.1787/5k9flcx2l340-en</a></li> </ul> |
| 3 | AB     | <p><b>The stages approach to policy analysis and the policy cycle</b></p> <p><b>Guiding questions:</b></p>  |

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|   |    | <ul style="list-style-type: none"> <li>- Which are the distinct stages in public policy making and how are they sequenced?</li> <li>- The stages approach to policy analysis: introduction to the concept of policy cycle</li> <li>- Normative versus positive understandings of the policy cycle</li> </ul> <p><b>Required readings:</b></p> <ul style="list-style-type: none"> <li>- Werner Jann and Kai Wegrich, 'Theories of the Policy Cycle' in Frank Fischer, Gerald J Miller and Mara S Sidney, Handbook of Public Policy Analysis: Theory, Politics and Methods, CRC Press, 2007.</li> <li>- Peters and Hoornbeek, 'The Problem of Policy Problems' in: F. Pearl Eliadis, Margaret M. Hill, Michael Howlett, 2005, Designing Government: From Instruments to Governance, ch4.</li> </ul> <p><b>Recommended readings:</b></p> <ul style="list-style-type: none"> <li>- Carney, 'What is the policy cycle?', pp. 32-34 and 'The Advocacy Coalition framework', ch 10 in Understanding public policy.</li> <li>- Lindblom, Charles. 1959. "The Science of Muddling Through." Public Administration Review 19 (2).</li> <li>- Sophia Everett, 2003. The Policy Cycle: Democratic Process or Rational Paradigm Revisited?, <i>Australian Journal of Public Administration</i>, 62 (2): 65-70.</li> <li>- 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.</li> </ul>  |
| 4 | AB | <p><b>Policy problems and agenda setting</b></p> <p><b>Guiding questions:</b></p> <ul style="list-style-type: none"> <li>- How and by whom are policy problems identified?</li> <li>- Why and how do issues become important for policy-makers?</li> <li>- Which key actors can shape the policy agenda, and how?</li> </ul> <p><b>Required readings:</b></p> <ul style="list-style-type: none"> <li>- Paul Carney, 'The advocacy coalition framework' (ch 10) in his Understanding Public Policy (2012).</li> <li>- Nikolaos Zahariadis. 2007. 'The Multiple Streams framework: Structure, limitations, prospects', in Sabatier (eds), Theories of the Policy Process. 2nd ed. 2007.</li> </ul> <p><b>Recommended readings:</b></p> <ul style="list-style-type: none"> <li>- Frank R. Baumgartner , Christoffer Green-Pedersen &amp; Bryan D. Jones (2006) Comparative studies of policy agendas, <i>Journal of European Public Policy</i>, 13:7, 959-974, DOI: 10.1080/13501760600923805</li> <li>- Knill and Tosun (2015) on Problem Definition and Agenda Setting (part about problem definition) in: Public Policy. A New Introduction.</li> <li>- Hank C. Jenkins-Smith, D Nohrstedt, C. Weible and Sabatier, Paul A.. "The Advocacy Coalition Framework. Foundation. Evolution and ongoing research" [excerpt] In Theories of the policy process, 3rd edition, edited by Paul A. Sabatier, Christopher M. Weible. 183-224. Particularly pp. 189-194.</li> <li>- Wayne Parsons, 'Theories of agenda control', in Public Policy, esp pp 125-30.</li> <li>- Peters, Guy P. (2015). Policy Problems. In: An Advanced Introduction to Public Policy.</li> </ul> |

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| 5 | AB | <p><b>Policy transfer and diffusion</b></p> <p><b>Guiding questions:</b></p> <ul style="list-style-type: none"> <li>- How, when and why do ideas, norms, institutions spread internationally?</li> <li>- What is policy transfer, diffusion and translation?</li> <li>- 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)?</li> <li>- What are the risks and limitations of policy transfer, or the pitfalls of adopting international 'best practice'?</li> </ul> <p><b>Required readings:</b></p> <ul style="list-style-type: none"> <li>- David P. Dolowitz and David Marsh (2000), "Learning from Abroad: The Role of Policy Transfer in Contemporary Policy-Making", <i>Governance</i>, 13.</li> <li>- Richard Rose (2005) <i>Learning from comparative public policy: A practical guide</i>. London: Routledge. Introduction &amp; Step 6: Drawing a lesson.</li> </ul> <p><b>Recommended readings:</b></p> <ul style="list-style-type: none"> <li>- 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</li> <li>- Stone, Diane (2012) Transfer and translation of policy, <i>Policy Studies</i>, 33:6, 483-499.</li> <li>- Mark Evans (2009) Policy transfer in critical perspective, <i>Policy Studies</i>, 30:3, 243-268, DOI: 10.1080/01442870902863828</li> <li>- Eugene McCann &amp; 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</li> </ul> |
| 6 | TA | <p><b>Policy formulation, decision making, and policy instruments</b></p> <p><b>Guiding questions:</b></p> <ul style="list-style-type: none"> <li>- Who makes decision over public policies?</li> <li>- How are policies formulated?</li> <li>- What are the instruments we can use to address policy problems?</li> </ul> <p><b>Required readings:</b></p> <ul style="list-style-type: none"> <li>- Smith and Larimer (2009). Who makes decisions? How do they make decisions? Actors and Institutions. In: <i>The Public Policy Theory Primer</i>, p.49-74</li> <li>- Peters, Guy. 2015. "Policy instruments", in "Advanced Introduction to Public Policy". Cheltenham, UK, Northampton, MA, USA: Edward Elgars, pp 101-123.</li> </ul> <p><b>Recommended readings:</b></p> <ul style="list-style-type: none"> <li>- M. Howlett (1991). Policy Instruments, Policy Styles, and Policy Implementation: National Approaches to Theories of Instrument Choice. In: <i>Policy Studies Journal</i>. 19(2)</li> <li>- Hallerberg et al (2009) Who decides the budget? A political economy analysis of the budget process in Latin America. Inter-American Development Bank, Washington DC. Chapter 1.</li> </ul>  |

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|   |     | <ul style="list-style-type: none"> <li>- John M Bryson (2004) What to do when Stakeholders matter, Public Management Review, 6:1, 21-53</li> <li>- World Bank (2001) Stakeholder Analysis, see: <a href="http://www1.worldbank.org/publicsector/anticorrupt/PoliticalEconomy/stakeholderanalysis.htm">http://www1.worldbank.org/publicsector/anticorrupt/PoliticalEconomy/stakeholderanalysis.htm</a></li> <li>- ODI (2018) Stakeholder Analysis, see: <a href="https://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/6861.pdf">https://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/6861.pdf</a></li> </ul>   |
| 7 | MF  | <p><b>Policy implementation</b></p> <p><b>Guiding questions:</b></p> <ul style="list-style-type: none"> <li>- What are the key challenges of putting policies into practice?</li> <li>- What are facilitating factors for policy implementation?</li> <li>- How do we design policies that can be implemented?</li> </ul> <p><b>Required readings:</b></p> <ul style="list-style-type: none"> <li>- Hill, Michael. 2013. Implementation: an overview. In The Public Policy Process, Sixth edition. Essex: Pearson Education Limited, pp 205-226</li> <li>- Hood, C. (2007) 'Public Service Management by Numbers: Why does it vary? Where has it come from? What are the Gaps and Puzzles?', Public Money &amp; Management (April 2007), 95-102</li> </ul> <p><b>Recommended readings:</b></p> <ul style="list-style-type: none"> <li>- Tosun and Knill (2015), Implementation. In Public Policy: A New Introduction</li> <li>- M. Hill &amp; P. Hupe, Implementing Public Policy: Governance in Theory and Practice, Sage 2002, chapter 3. [320.6 HIL]</li> <li>- R. W. Robichau &amp; L. E. Lynn Jr.. 2009. "The implementation of Public Policy: Still the Missing Link", Policy Studies Journal, 37:1.</li> <li>- Smith and Larimer (2009). How Does it Work? Policy Implementation. In The Public Policy Theory Primer, p.49-74</li> </ul> |
| 8 | CCH | <p><b>Compliance</b></p> <p><b>Guiding questions:</b></p> <ul style="list-style-type: none"> <li>- Why do 'target groups' comply, or fail to comply, with (legal) requirements?</li> <li>- What can governments/regulators do to increase compliance among target groups?</li> <li>- How can target groups (and other actors) contest compliance?</li> </ul> <p><b>Required readings:</b></p> <ul style="list-style-type: none"> <li>- R. Kent Weaver, Compliance Regimes and Barriers to Behavioral Change Governance 27 (2014): 2, pp 243–265.</li> <li>- Uri Gneezy and Aldo Rustichini, 'A fine is a prize', Journal of Legal Studies, Vol. 29, No. 1 (January 2000), pp. 1-17</li> </ul> <p><b>Recommended readings:</b></p> <ul style="list-style-type: none"> <li>- 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.</li> <li>- Agnes Batory, 'Why do anti-corruption laws fail in Central Eastern Europe? A target compliance perspective', Regulation &amp; Governance (2012) 6, 66–82</li> </ul>  |

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|    |     | <ul style="list-style-type: none"> <li>- 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.</li> <li>- R. Borland et al (2006) 'Support for and reported compliance with smoke-free restaurants and bars by smokers in four countries: findings from the International Tobacco Control (ITC) Four Country Survey', Tobacco Control 2006;15(Suppl III):iii34–iii41.</li> <li>- Oliver Treib, "Implementing and complying with EU governance outputs", Living Rev. Euro. Gov. 9, (2014), 1.</li> </ul>  |
| 9  | CCH | <p><b>Policy evaluation</b></p> <p><b>Guiding questions:</b></p> <ul style="list-style-type: none"> <li>- What are the criteria for assessing policy performance?</li> <li>- Which methods are used for policy evaluation?</li> <li>- How can evaluation remain objective in a political environment?</li> </ul> <p><b>Required readings:</b></p> <ul style="list-style-type: none"> <li>- Tosun and Knill (2015), Evaluation. In Public Policy: A New Introduction</li> <li>- Vendung (2015) Six Models of Evaluation in Routledge Handbook of Public Policy (2015). Chapter 29.</li> </ul> <p><b>Recommended readings:</b></p> <ul style="list-style-type: none"> <li>- van Stolk, Chris, and Fazekas, Mihály, (2013), How Evaluation is Accommodated in Emergency Policy making: A comparison in the UK and the US. In Jan-Eric Furubo, Ray Rist and Sandra Speer (eds.), (2013), Evaluation in Turbulent Times. ch. 6. Transaction Publishing, Piscataway, NJ.</li> <li>- Peters (2015). Evaluating Public Policy (Chapter 7), in: Advanced Introduction to Public Policy.</li> <li>- M. Bovens, P. t'Hart &amp; S. Kuipers "The Politics of Policy Evaluation" M. Moran, M. Rein &amp; R. E. Goodin (eds) Oxford Handbook of Public Policy, Oxford University Press, 2006. Ch. 15.</li> <li>- Frey Kathrin and Widmer Thomas (2011). Revising Swiss Policies: The Influence of Efficiency Analyses. In American Journal of Evaluation 32(4), p. 494-517</li> <li>- Lianos, Ioannis and Fazekas, Mihály, (2014), The One and the Many: Elaborating a taxonomy of Impact Assessment practices in Europe. CLES Research Paper Series, 1/2014. Centre for Law, Economics and Society. London: UCL</li> </ul> |
| 10 | CCH | <p><b>Policy success and failure; policy termination</b></p> <p><b>Guiding questions:</b></p> <ul style="list-style-type: none"> <li>- How can we establish whether a policy succeeded?</li> <li>- Is it possible to produce an objective measure of success/failure?</li> <li>- What are the main, common causes of policy failure? When and why are policies terminated?</li> <li>- Policies often outlive their usefulness: what are the causes of this resilience?</li> </ul> <p><b>Required readings:</b></p>  |

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|    |    | <ul style="list-style-type: none"> <li>- David Marsh and Allan McConnell, 'Towards a framework for establishing policy success', Public Administration 88 (2010) 2.</li> <li>- Christopher Hood (1994), Policy reversals and how to explain them. Ch. 1. In Explaining economic policy reversals, open university press.</li> </ul> <p><b>Recommended readings:</b></p> <ul style="list-style-type: none"> <li>- Iris Geva-May; Riding the Wave of Opportunity: Termination in Public Policy. Journal of Public Administration Research and Theory 2004; 14 (3): 309-333. doi: 10.1093/jopart/muh020</li> <li>- McConnell, A, 2010, 'Policy Success, Policy Failure and Grey Areas In-Between', Journal of Public Policy, 30, 3, 345-62</li> <li>- Allan McConnell, 'What is policy failure? A primer to help navigate the maze' Public Policy and Administration July-October 2015 vol. 30 no. 3-4 221-242.</li> <li>- Andrew Jordan , Michael W. Bauer &amp; Christoffer Green-Pedersen (2013) Policy Dismantling, Journal of European Public Policy, 20:5, 795-805.</li> <li>- Michael W. Bauer &amp; Christoph Knill (2014) A Conceptual Framework for the Comparative Analysis of Policy Change: Measurement, Explanation and Strategies of Policy Dismantling, Journal of Comparative Policy Analysis: Research and Practice, 16:1, 28-44, DOI: 10.1080/13876988.2014.885186</li> </ul>  |
| 11 | MF | <p><b>Critique and context for policy making</b></p> <p><b>Guiding questions:</b></p> <ul style="list-style-type: none"> <li>- What are the main shortcomings of the policy cycle theory?</li> <li>- Which major factors need to be considered when going beyond the policy cycle? Media, extraordinary events, etc.</li> <li>- To what degree the policy cycle is applicable to different regimes?</li> <li>- To what degree does studying public policy help becoming a good policy analyst?</li> </ul> <p><b>Required readings:</b></p> <ul style="list-style-type: none"> <li>- D. Weimer (2012) The Universal and the Particular in Policy Analysis and Training. Journal of Comparative Policy Analysis: Research and Practice 14 (1) 1-8</li> <li>- Lodge, M. and Hood, C. (2002), Pavlovian Policy Responses to Media Feeding Frenzies? Dangerous Dogs Regulation in Comparative Perspective. Journal of Contingencies and Crisis Management, 10: 1-13.</li> </ul> <p><b>Recommended readings:</b></p> <ul style="list-style-type: none"> <li>- Lindblom, Charles. 1959. "The Science of Muddling Through." Public Administration Review 19 (2).</li> <li>- A. Henry, K. Ingold, D. Nohrstedt and C. Weible (2014) Policy Change in Comparative Contexts: Applying the Advocacy Coalition Framework Outside of Western Europe and North America. Journal of Comparative Policy Analysis: Research and Practice 16 (4) 299-312</li> <li>- J. Peck (2004) Geography and public policy: constructions of neoliberalism. Progress in Human Geography 28 (3) 392-405</li> <li>- J. Duckett &amp; G. Wang (2017). Why do authoritarian regimes provide public goods? Policy communities, external shocks and ideas in China's rural social policy making. Europe-Asia Studies, 69(1), 92-109.</li> </ul> |

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|    |    | - P. Steinberg (2003) Understanding Policy Change in Developing Countries: The Spheres of Influence Framework. Global Environmental Politics, 3 (1), 11-32 |
| 12 | MF | Summary and conclusion<br><br>No new reading for this class.   |