

Subject teaching plan

2007-08

PUBLIC POLICY ANALYSIS: ACTORS AND INSTITUTIONS

Prof. Jacint Jordana (UPF)

1. Subject presentation

The study of public policy making is at the core of our understanding of how public policies are made. This course offers a review of the two main theoretical approaches used currently by political scientists in the analysis of policy processes: The perspectives of new institutionalism (both historical and sociological) and rational choice approaches (both behavioural and normative). Departing from identifying formal and informal rules the former and clarifying subject' interests and motivations the latter, both approaches, with different analytical frameworks, build up models that pretend explain policy outcomes. However, both approaches share the aim to better understand policy making processes, considering that purposive actors interact within particular institutional settings.

The fundamentals of these two analytical frameworks will be discussed carefully during the first part of this course, emphasizing also connections and possible dialogues among them. During the second part of the course, we will consider these theoretical views applied to the analysis of decision making for some specific public policy problems. In particular, we will address the issue of national versus global approaches to public policy change, aiming to discuss both explanations based on national states particularities, and those connected to globalization processes. How these two perspectives can be interrelated and which explanatory and methodological problems appear are basic issues for the second part of the course. A sample of literature on several public policies will be examined in order to identify different explanatory strategies and their problems.

2. Prerequisites

Students are expected to have a general knowledge of political science essentials, in particular a basic understanding of rational choice and neo-institutional approaches. In case of non-familiarity with such approaches, it is highly recommended to read some introductory readings in advance.

The course is taught in English. However, students may use other languages for the essays and classroom debates (Spanish, Catalan).

3. Competences to be achieved in the subject

- General competences (Instrumental, Interpersonal and Systemic)
 - Written and oral communication in own/foreign language (Instrumental)
 - Strengthen Information management (instrumental)
 - To strength the capability to do academic and professional presentations to particular audiences (instrumental).
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 - To find adequate arguments to defend own particular views and preferences on scientific debates (interpersonal)
 - To stimulate debates and critical discussions on scientific issues (interpersonal).
 - Ability to identify and appreciate new scientific ideas (Systemic)
 - To improve the ability to derive empiric interpretations based on different theoretical perspectives (systemic).
 - To enforce writing skills for public policy diagnoses and analysis (systemic).
- Specific competences
 - Students should be able to understand the logic of current research on public policy analysis, and to distinguish the theoretical basis of different perspectives.
 - Students should be able to identify the main theoretical and methodological problems related to public policy research, particularly, from a comparative point of view.
 - Students should be capable at the end of the course to consider particular topics and new areas of interest for innovative research in this field.
 - Students should be able to prepare policy papers based on sound analytical work and coherent argumentation.

4. Assessment

- 20% Student participation in class.
 - It will be valued participation in debates and critical reading of the materials for each session.
 - Proofs of readings might be also required.
- 20% Short critical presentation (20 min.) of one of the required readings to all participants in the course. The PPT printout or a text summarizing the presentation should be delivered for obtaining a mark.

- 20% Mid-term essay (2.000 words) discussing a policy issue (policy paper). The topic for the paper will be defined during previous tutorial sessions, and the essay will be due the sixth session of the course.
- 40% Take-home final exam (3.000 words). A question will be distributed during the final session of the course and will be due in one month time since the end of the sessions.
- Assistance at least to the 80% of the sessions will compulsory to obtain a final grade in the course.

5. Contents

Block A: The first part of the course concentrates on revising the main current theoretical approaches to public policy making, in particular:

- Neo-institutional perspectives (historical and sociological)
- Rational Choice approaches (behavioural and normative)

Substantial differences among these approaches are considered, as well as their contact points, considering different analytical perspectives.

Block B: The second part is devoted to discuss how the analysis of public policy making confronts different shortcomings and strengths. We focus on the analytical challenges that emerge when try to disentangle influences coming from both national and global dimensions, and employing the theoretical approaches examined in the first block of the course. Some of the problems addressed are:

- Emerging political challenges to domestic policies caused by the growing influence of international arenas
- Identifying causality lines for policy change related to horizontal processes of policy diffusion (country-to-country) and dealing with the “Galton problem”.
- Discussing the persistence of relevant domestic factors in the analysis of public policy-making: what remains relevant, trying to find the more consistent explanation.

6. Methodology

- Methodological focus of the subject
 - The course will be centred weakly lecture based on a teacher’s introduction to the topics of the course.

- Seminar sessions will include student presentations of a required reading, followed by collective discussion and interpretation of the reading (has to be read in advance by all participants).
- Tutorial sessions will concentrate on preparing exercises based on current policy problems and revising policy papers, aiming to stimulate the analytical tools of students regarding the interpretation of public policy.
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- Organisation of time:
 - 10 Weekly sessions of lecturing (12 hours in total)
 - 10 Seminar sessions based on presentations and joint discussions (10 hours in total).
 - 8 Tutorial sessions (including some individual meetings)

7. Bibliography

- Preliminary readings

Mireia Grau Creus (2002), "El estudio de las políticas públicas: enfoques y metodologías de análisis", en M. Grau y A. Mateos. *Análisis de políticas públicas en España: enfoques y casos*. Valencia: Tirant Lo Blanch.

Michael Hill (1997), *The policy process in the Modern State*, Prentice Hall, London

W. Parsons (1995), *Public Policy. An introduction to the theory and practice of policy analysis*. Aldershot: Edward Elgar.

- Basic bibliography

Fritz Scharpf (1997), *Games Real Actors Play. Actor-Centered Institutionalism in Policy Research*, Boulder: Westview.

George Tsebelis (2002), *Veto players. How Political Institutions Work*, New York: Russell Sage Foundation

Paul A. Sabatier (ed.), (1999), *Theories of the Policy Process*, Boulder: Westview.

BLOCK A

- Compulsory readings

Session 1: Presentation: public policy analysis

Peter Hall / Rosemary Taylor (1996): "Political Science and the Three New Institutionalisms", *Political Studies* 44: 936-957.

Herbert Simon (1985), "Human Nature in Politics: the dialogue of psychology with political science", *American Political Science Review*, 79, (2), 293-304.

Session 2: Institutions and public policy: interpretative frameworks.

Fritz Scharpf (1997), *Games Real Actors Play. Actor-Centered Institutionalism in Policy Research*, Boulder: Westview, Introduction and caps. 1-2

Session 3: Collective action and cooperation: actors' aims and preferences

Fritz Scharpf (1997), *Games Real Actors Play. Actor-Centered Institutionalism in Policy Research*, Boulder: Westview, caps. 3- 4

George Tsebelis (2002), *Veto players. How Political Institutions Work*, New York: Russell Sage Foundation, caps. Intro, 1, 3

Session 4: Explaining policy change by Institutional mechanisms

Paul Pierson (2000), "Increasing Returns, Path Dependence and the Study of Politics", *American Political Science Review*, 94: 251-268.

M. Tommasi and P. Spiller (2003), "The Institutional Foundations of Public Policy. A Transactions Approach with Application to Argentina", *Journal of Law, Economics and Organization*, vol. 19, pp. 281-306.

Elinor Ostrom (1999): "Institutional Rational Choice: An Assessment of the Institutional Analysis and Development Framework", in Paul A. Sabatier (ed.), *Theories of the Policy Process*, Boulder: Westview.

Session 5: Explaining policy change by the actors behaviour

Paul A. Sabatier / Hank C. Jenkins-Smith (1999), "The Advocacy Coalition Framework: An Assessment", en Paul A. Sabatier (ed.), *Theories of the Policy Process*, Boulder: Westview.

Peter Hall (1993), "Policy paradigms, Social learning and the State: the case of Economic Policy Making in Britain", *Comparative Politics*, 25 (3), pp. 275-298.

Jon Elster (1998), "A plea for mechanisms", P. Hedström / R. Swedberg (eds.), *Social Mechanisms. An Analytical Approach to Social Theory*, Cambridge University Press, pp. 45-73

BLOCK B

Session 6: National states, Europeanization and Globalization: sources of variation for explaining public policy change

T. Boerzel (2005), "Pace-setting, Foot-dragging and Fence-sitting: member state responses to Europeanization", in A. Jordan (ed.), *Environmental Policy in the European Union*, Earthscan.

J. Olsen (2002), "The Many Faces of Europeanization", *Journal of Common Market Studies*, vol. 40, pp. 921-952.

J. Jordana, D. Levi-Faur and I. Puig (2006), "The Limits of Europeanization: Regulatory Reforms in the Spanish and Portuguese Telecommunications and Electricity Sectors", *Governance*, 19 (3).

Session 7: Explaining regulatory policy change: domestic versus global perspectives.

Anne-Marie Shlaugter (2004), *A New world Order*, Princeton: Princeton University Press (chapter 1).

David Levi-Faur (2005), "The global diffusion of regulatory capitalism", *Annals of the American Academy of Political and Social Science*, vol. 598, pp. 12-32

Simon Polillo and Mauro F. Guillén (2005), "Globalization Pressures and the State: the Worldwide Spread of Central Bank Independence", *American Journal of Sociology*, vol. 110, pp. 1764-1802.

Session 8: **Explaining policy change: diffusion perspectives**

D. Braun and F. Gilardi (2006), "Taking 'Galton's Problem' Seriously: Towards a Theory of Policy Diffusion", *Journal of Theoretical Politics*, vol. 18, pp. 292-322.

F. Dobbin B. Simmons and G. Garrett (2007), "The Global Diffusion of Public Policies: Social Construction, Coercion, Competition, or Learning?", *Annual Review of Sociology*, vol. 33: 449-472.

Chang Kil Lee and David Strang (2006), "The International Diffusion of Public-Sector Downsizing: Network Emulation and Theory-Driven Learning", *International Organization*, Vol. 60, pp 883-909.

Session 9: **World policy approaches: institutions, INGO and professional networks**

J. Meyer, J. Boli, G. M. Thomas and F. O. Ramirez (1997), "World Society and the Nation-State", *American Journal of Sociology*, vol. 103, pp. 144-181.

E. Schofer (2003), "The Global Institutionalization of Geological science, 1800-1990", *American Sociological Review*, vol. 68, pp. 730-759.

J Boli, GM Thomas (1997), " World Culture in the World Polity: A Century of International Non-Governmental Organization", *American Sociological Review*, vol. 62, pp. 171-190.

Session 10: **Institutions, actors and preference formation in public policy**

Peter Hall (2006), "Preference Formation as a Political Process: the case of Monetary Union in Europe", in I. Katzelson and B. Weingast, *Preference and Situation*, MIT Press.

Jeffrey Chwieroth (2007), "Testing and Measuring the role of Ideas: the Case of Neoliberalism in the International Monetary Fund", *International Studies Quarterly*, vol. 51, pp. 5-30.

Bruce Kogut and J. Muir Macpherson (2008), "The Decision to Privatize as an Economic Policy Idea: Epistemic Communities, Palace Wars and Diffusion", Forthcoming in Frank Dobbin, Geoff Garrett, and Beth Simmons, *Diffusion of Liberalization*, Cambridge University Press.

- **Further bibliography**

Jacint Jordana & David Levi-Faur (2004), *The politics of Regulation. Institutions and Regulatory Reforms for the Age of Governance*, Cheltenham: Edward Elgar.

M. Aoki (2001), *Towards a comparative Institutional Analysis*, MIT Press, Cambridge.

Roger G. Noll (ed.) (1985), *Regulatory Policy and the Social Sciences*, Los Angeles: University of California Press.

B. Guy Peters (1999), *Institutional Theory in Political Science*, London: Pinter.

Kenneth A. Shepsle / Mark S. Boncheck (1997), *Analyzing Politics: Rationality, Behavior and Institutions*, New York: Norton.

Adam Przeworski (2003), *States and Markets. A Primer in Political Economy*, Cambridge: Cambridge University Press.

J. Morrow (1994), *Game Theory for Political Scientists*, Princeton: Princeton University Press.

Lester M. Salomon (ed.), (2002), *The tools of Governance. A Guide to the New Governance*, Oxford, Oxford University Press

Terry M. Moe (1990), "Political Institutions: The Neglected Side of the Story", *Journal of Law, Economics and Organization*, 6: 213-253.

Brian Levi / Pablo T. Spiller (1996), *Regulations, Institutions and Commitments*, Cambridge: Cambridge University Press. Cap. 1.

Pablo T. Spiller and Mariano Tommasi (2007), *The Institutional Foundations of Public Policy in Argentina*, Cambridge University Press, Cambridge.

Linda Weiss (1999), "Globalization and national governance: antinomy or interdependence?" *Review of International Studies*, 25: 59-88.

Torben Ibersen (1999), *Contested Economic Institutions. The politics of macroeconomics and wage bargaining in advanced democracies*, Cambridge: Cambridge University Press. (caps. 1-4).

Peter Hall / David Soskice (2001), *Varieties of Capitalism. The Institutional Foundations of Comparative Advantage*, Oxford: Oxford University Press. (introduction).

John Braithwaite / Peter Drahos (2000), *Global Business Regulation*, Cambridge: Cambridge University Press. (ch. 20-23)

Beth Simmons / Zachary Elkins (2004), "The globalization of liberalization: Policy diffusion in the international political economy", *American Political Science Review* 98 (1), pp. 171-89.

W. Heinz / B. Zelner / M. Guillen (2005), "The Worldwide Diffusion of Market-Oriented Infrastructure Reform, 1977-1999. Running Head: Diffusion of Market-Oriented Reform", *American Sociological Review*, Vol. 70, pp. 871-897.

Kurt Weyland (2005), "Theories of Policy Diffusion: Lessons from Latin American Pension Reform", *World Politics*, vol. 57, pp. 262-295.

8. PROGRAMING OF ACTIVITIES

<i>Week</i>	<i>Classroom activity</i>	<i>Activity outside the classroom</i>	<i>Results that are object of assessment</i>
Week 1	<i>Lecture: The dimensions of public policy analysis: how to explain policy-making Tutorial: Prepare a policy paper – define objectives</i>	<i>Required readings 1 (see annex) Work on policy paper</i>	
Week 2	<i>Lecture: Main theoretical approaches to policy-making Seminar: paper discussion Tutorial: Prepare a policy paper –concrete objectives</i>	<i>Required readings 2 (see annex) Reading for seminar discussion Work on policy paper</i>	<i>Paper presentation and discussion</i>
Week 3	<i>Lecture: Actors relevance to policy-making analysis Seminar: paper discussion Tutorial: Prepare a policy paper – writing tools</i>	<i>Required readings 3 (see annex) Reading for seminar discussion Work on policy paper</i>	<i>Paper presentation and discussion</i>
Week 4	<i>Lecture: The relevance of institutions to policy-making analysis Seminar: paper discussion Tutorial: Prepare a policy paper – finding an argument</i>	<i>Required readings 4 (see annex) Reading for seminar discussion Work on policy paper</i>	<i>Paper presentation and discussion</i>
Week 5	<i>Lecture: Combining actors and institutions in policy analysis Seminar: paper discussion Tutorial: Prepare a policy paper – finding an argument</i>	<i>Required readings 5 (see annex) Reading for seminar discussion Work on policy paper</i>	<i>Paper presentation and discussion</i>
Week 6	<i>Lecture: Europeanization and Globalization Seminar: paper discussion Tutorial: Prepare a policy paper –Positioning</i>	<i>Required readings 6 (see annex) Reading for seminar discussion Work on policy paper</i>	<i>Paper presentation and discussion Mid-term policy paper</i>
Week 7	<i>Lecture: Regulatory change Seminar: paper discussion Tutorial: Prepare a policy paper –Reading essays</i>	<i>Required readings 7 (see annex) Reading for seminar discussion Work on policy paper</i>	<i>Paper presentation and discussion Mid-term policy paper</i>
Week 8	<i>Lecture: Policy Diffusion Seminar: paper discussion Tutorial: Prepare a policy paper – Reading essays</i>	<i>Required readings 8 (see annex) Reading for seminar discussion Work on policy paper</i>	<i>Paper presentation and discussion Mid-term policy paper</i>
Week 9	<i>Lecture: World Policy/Polity Seminar: papers discussion</i>	<i>Required readings 9 (see annex) Readings for seminar discussion</i>	<i>Paper presentation and discussion</i>
Week 10	<i>Lecture: Ideas and preferences Seminar: papers discussion</i>	<i>Required readings 10 (see annex) Readings for seminar discussion</i>	<i>Paper presentation and discussion Take home final exam</i>

9. Structure of the programming of activities

Week	Activity in the classroom			Activity outside the classroom			Assessment activities	
	Learning activities	Didactic resources	Time scheduled	Learning activities	Didactic resources	Estimated time	Items for assessment	Estimated time
22/01/08	Lecture: The dimensions of public policy analysis: how to explain policy-making	Readings 1	2 hours		Readings 1	4 hours		
	Tutorial: Prepare a policy paper – define objectives		1 hour	Exercise		2 hour		
29/01/08	Lecture: Main theoretical approaches to policy-making	Readings 2	1 hour		Readings 2	4 hours		
	Seminar: paper discussion	Selected reading	1 hour	Preparing discussion		1 hour		
	Tutorial: Prepare a policy paper – concrete objectives	Sample text	1 hour					
5/02/08	Lecture: Actors relevance to policy-making analysis	Readings 3	1 hour		Readings 3	4 hours		
	Seminar: paper discussion	Selected reading	1 hour	Preparing discussion		1 hour		
	Tutorial: Prepare a policy paper – writing tools		1 hour	Exercise		2 hour		
12/02/08	Lecture: The relevance of institutions to policy-making analysis	Readings 4	1 hour		Readings 4	4 hours		
	Seminar: paper discussion	Selected reading	1 hour	Preparing discussion		1 hour		
	Tutorial: Prepare a policy paper – finding an argument	Sample text	1 hour					
19/02/08	Lecture: Combining actors and institutions in policy analysis	Readings 5	1 hour		Readings 5	4 hours		
	Seminar: paper discussion	Selected reading	1 hour	Preparing discussion		1 hour		
	Tutorial: Prepare a policy paper – finding an argument		1 hour	Exercise		2 hour		

26/02/08	Lecture: Europeanization and Globalization	Readings 6	1 hour		Readings 6	4 hours		
	Seminar: paper discussion	Selected reading	1 hour	Preparing discussion		1 hour		
	Tutorial: Prepare a policy paper – Positioning	Sample text	1 hour				Mid-term policy paper	15 hours
04/03/08	Lecture: Regulatory change	Readings 7	1 hour		Readings 7	4 hours		
	Seminar: paper discussion	Selected reading	1 hour	Preparing discussion		1 hour		
	Tutorial: Prepare a policy paper – Reading essays	Papers delivered	1 hour					
11/03/08	Lecture: Policy Diffusion	Readings 8	1 hour		Readings 8	4 hours		
	Seminar: paper discussion	Selected reading	1 hour	Preparing discussion		1 hour		
	Tutorial: Prepare a policy paper – Reading essays	Papers delivered	1 hour					
18/03/08	Lecture: World Polity approaches	Readings 9	1 hour		Readings 9	4 hours		
	Seminar: papers discussion	Selected reading	2 hour	Preparing discussion		2 hours		
25/03/08	Lecture: Ideas and preferences in public policy	Readings 9	1 hour		Readings 10	4 hours		
	Seminar: papers discussion	Selected reading	1 hour	Preparing discussion		1 hour		
	Concluding debate		1 hour				Take home final exam	20 hours
			30 hours			56 hours		35 hours

