

## **SPCN-V 538 Comparative & International Policy Process**

Instructor: Profesor Claudia N. Avellaneda. Email: [cavellan@iu.edu](mailto:cavellan@iu.edu)  
Meeting Room: Zoom <https://iu.zoom.us/j/4178142714>  
Class Instruction: Asynchronous instruction  
Meeting Time: N/A  
Instructor's Office: SPEA 453  
Office Hours: By appointment via Zoom or in-person Zoom <https://iu.zoom.us/j/4178142714>  
Office phone: (812) 856-9026

### **I. Description and Objectives of the Course**

**Course Description:** This seminar is an overview of the literature in public policy and policy-making process using a comparative and international perspective. It is designed to give the student a substantive overview of the field by focusing the policy process across several contexts: USA, developed, developing and transition economies. The course emphasizes two themes. First, it focuses on the stages of the public policy process which involves problem identification, agenda setting, policy formulation, policy adoption, policy implementation, policy evaluation, and policy termination. Second, it emphasizes the different theoretical approaches for understanding policymaking. The course will also explore the generalizability of the existing theoretical approaches when applied to different contexts and policy areas.

**Course Objective:** By the end of the semester, students should be familiar with the stages of the policymaking process as well as with the theories that explain each stage of the policymaking process. Students should also be able to identify the actors and factors that shape agenda setting and policymakers' decisions. In addition, students should acquire skills to identify 1) causal mechanisms at any stage of the policymaking process; 2) approaches to evaluate past and current implemented policies; 3) the theoretical frameworks that explain policymaking; 4) how and why policymaking can vary across developed and developing settings and 5) ways to apply the discussed material to real life policy problems. Finally, students should develop the ability to translate complex ideas into simple and applicable concepts by illustrating the stages of the policy making process in a chosen country and policy area.

### **II. Teaching Philosophy:**

Throughout my academic career, I have been motivated by several instructors. I believe that the quality of a class is determined not only by the content of the material but also by the instructor's enthusiasm, commitment, and capacity to convey information. For this reason, my role as an educator goes beyond providing basic knowledge to that of inspiring students to be both analytical thinkers and self-directed learners. These skills should contribute to students' academic and personal enrichment. My task then includes knowing the facts, being able to communicate them efficiently, and providing students with "spaces" to pursue further knowledge. I implement these spaces by emphasizing critical thinking through class discussions, individual presentations, and writing assignments. The measure of my effort is students' learning and further interest. If students comprehend the material and find personal interest on the foundations I offer, then I will be gratified as an educator.

### **III. Suggested Texts. All readings will be available on Canvas.**

1. Anderson, James. 2011. *Public Policymaking: An Introduction*. Houghton-Mifflin. 7<sup>th</sup> Edition.
2. Paul A. Sabatier. Ed. 2007. *Theories of the Policy Process*. Boulder, Colorado: Westview Press.

Additional journal articles and book chapters are part of the reading assignments. **All readings will be provided by the instructor on Canvas.** If you have problems in accessing any of the readings through Canvas, they should be available through the library's electronic access.

#### **IV. Grading Policy: Grading will be based on the following:**

- 10% - Three **discussion reports/summaries** out of 11 possible topics. **At least two before mid-term exam.**
- 10% - Discussion Post: **three short posts per week**
- 30% - Mid-term take-home exam due **at MIDNIGHT on Friday, March 14<sup>th</sup>**, via Turnitin Canvas.
- 20% - Policy Problem Presentation: last two weeks of April
- 30% - Final take-home exam due **at MIDNIGHT on May 6<sup>th</sup>**, via Turnitin on Canvas.

**Late Policy = A letter grade off for each day that the assignment is late.**

Semester averages of 97 and higher will receive A+; 93 to 96.9 will receive A; 90 to 92.9 A-; 87 to 89.9 will receive B+; 83 to 86.9 will receive B; 80 to 82.9 grades of B-; 77 to 79.9 grades of C+; 73 to 76.9 grades of C; 70 to 72.9 grades of C-; 67 to 69.9 grades of D+; 63 to 66.9 grades of D; 60 to 62.9 grades of D-; lower than 59.9 grades of F.

**Forum discussions or discussion posts and contributions:** Each week the forum will be dedicated to discussing the module's assigned readings. Each module covers a different topic (e.g., an administrative reform and/or a driver of government performance). The achievement of this class's learning outcomes depends on doing the assigned readings and contributing to the forum discussion. **Students should go back and forth in the discussion (e.g., to respond to and build on others' posts).** I want to avoid flat discussions by you just posting one thing and not responding to others' comments. **Every student is expected to make at least two contributions to each module's forum discussion.** To contribute substantially to the forum discussion, when doing the readings, make sure you define key concepts and focus on key arguments. I expect you to assess the readings in terms of their applicability for explaining events/issues related to public management and administration. If a reading fails to do so, please address its limitations and ways to improve it. You are more than welcome to contact me, via email, before a module starts to make sure you have identified the key points. All the readings will be available in electronic format via the course site. For the forum discussions, the following questions are few of the things you should think about. However, **by no means, the forum discussion should be limited to these questions.** I want the discussions to be based on creative thinking, synthesis, and practical applications of the assigned readings. Some weeks, I may offer few questions to start the forum discussion.

**Discussion Reports/Summaries:** During the semester, you are responsible for submitting 3 (out of 11 week-topics) two-page, double-spaced discussion-summaries on the readings assigned for a class. **At least two discussion summaries must be submitted before the mid-term exam.** The discussion-summary is due at the beginning of the respective class. Instead of simply summarizing the readings, I expect students to provide me with a general assessment of how readings are integrated. If so, how do they address or exemplify the same approach? If the readings, or some of them, disagree, how do they do so? I want you to grasp the big picture of how readings, concepts, and themes fit together. In other words, in these assignments, the goal is to demonstrate your critical thinking. The following questions should help you achieve this goal:

- 1) Do I understand what I have read?
- 2) Am I clear on the definition of terms used?
- 3) What assertions (claims, arguments, conclusions) is the author making?
- 4) What evidence is given to support the assertions (or arguments)?
- 5) Are there other ways of explaining the evidence? That is, are there other potential explanations?

- 6) What additional evidence is needed to support the assertions?
- 7) How can I apply what I have learned?
- 8) Do I buy (believe) the argument?

**Take-Home Exam:** I will hand out the mid-term and final take-home exam two weeks before the due date. Each exam will have three essay questions from which you will answer two. For each question, you will write a six-page, double-spaced, 12 Times New Roman font, and one-inch margin essay. I will **provide more details in the exam. The mid-term take-home exam is due at midnight on Friday, March 14, and the final take-home exam is due at midnight on Tuesday, May 6.** For the exams, I request an electronic copy. The electronic copy will be **submitted through Turnitin at Canvas.**

**Policy Case Presentation:** According to the class schedule, each student will have between 10-15 minutes to do a presentation. In this presentation, the student is expected to choose any policy area (e.g., environmental, foreign policy, energy, agricultural, education, housing, ageing, drug abuse, disability, economic, tax, social, etc.). Within this policy area, you will identify a potential problem for which you will apply all the stages of the policy making process (problem identification, agenda setting, policy formulation, policy adoption, policy implementation, and policy evaluation). You are more than welcome to contact me before the presentation to make sure you are on the right track.

## **VI. Class Policies:**

**Cell Phones, Pagers, iPods, Newspapers, and Laptops.** Before the class starts, please turn off cell phones and pagers and put newspapers away. These items disturb you, me, and your classmates. Laptop users must use it to take notes and not to surf the Internet in class. Surfing the internet during class disrupts your classmates. Therefore, refrain from doing it.

**Deadline Extensions and Make-Ups Exams:** Ability to meet deadlines are required qualifications for an undergraduate student. Accordingly, no extensions are granted for any of the assignments. **Unexcused late papers will be penalized one full letter grade per day.** However, in case of an emergency, contact me via e-mail or phone (office: (812-856-9026) to see if an exception can be made. In that case, written documentation is required. I DO NOT accept xeroxed copies of medical excuses; I require the original documentation to make a copy of my records, and I will return you the original.

**Late Submissions: Unexcused late assignments will be penalized one full letter grade off per day.**

**Course Withdrawals: Late Withdrawal.**

**NOTE: The auto-W deadline is NO LONGER THE LAST DAY OF CLASS (as it was during and post-Covid). After the auto-W deadline, withdrawal will be significantly limited, and you will need permission to withdraw and must meet requirements established by O'Neill.**

**Incompletes:** A grade of incomplete (I) indicates that a 'substantial portion' of the work in a course has been satisfactorily but not entirely completed by the student as of the end of the semester. The incomplete can be given to a student facing hardship such that it would be unjust to hold the student to the established time limits for completing the work. To be eligible for the incomplete in a SPEA course, the student's work must be of passing quality, and the student must have completed 75% of the course requirements. **Poor performance in a course is**

**not grounds for an incomplete.** SPEA follows the campus guidelines in awarding incompletes which may be accessed at the Office of the Registrar's website at:

[http://registrar.indiana.edu/stu\\_grades.shtml](http://registrar.indiana.edu/stu_grades.shtml)

Incompletes must be removed within a time period not to exceed one year after the semester in which the student was enrolled in the course. The incomplete will revert to an 'F' if the work is not completed within the allotted timeframe established by the instructor.

**Class Participation:** I expect class participation in every class on the assigned readings. **Remember it is a master's level class.** Therefore, you should be prepared to discuss questions about the readings through the different class venues. Participation in class discussions, discussion posts, and office visits (in person or via Zoom), are also encouraged, as they are likely to contribute to your overall understanding of the subject.

**Instructor Accessibility:** When you have doubts about readings or concepts addressed in class, please do not hesitate to ask me for additional clarifications, either in class or in my office hours. **I am committed to facilitating your learning.** In fact, besides the standard three-office hours, you can schedule an appointment with me on any other day that my schedule permits.

**Communication between Faculty and Students:** To verify the identity of all parties involved, effective September 1, 2004, all email communication from current O'Neill students to O'Neill staff **must originate from an Indiana University email account. Email messages must have SPCN-V 538 Comparative & International Policy Process** in the message subject line and must be sent from the IUB email account. Otherwise, the messages may be treated as spam and deleted unread. **Please make sure the email has a greeting sentence, for example, "good morning, professor".** I guarantee to respond to your email as soon as I have access to it. However, I want you to be aware that I attend conferences, and I may not have constant access to internet. Therefore, be patient regarding email response. For email communication with SPEA faculty, current SPEA students should refer to course syllabi for instructors' preferences (Oncourse, Webmail, etc.). This policy applies to current students only. Instructions for forwarding your IUB email to another account can be found at: <http://kb.indiana.edu/data/beoj.html?cust=687481.87815.30>

**Classroom Conduct:** Students are expected to respect the instructor and their classmates. Inappropriate expressions and behaviors are intolerable in my class. Each of us may have different opinions on the topic under discussion. Indeed, I encourage disagreement of the ideas of others, including mine. However, disagreement and discussions should be constructive rather than disruptive, and I reserve the right to manage the discussion in an orderly fashion. If you conduct during the class seriously disrupts the atmosphere of mutual respect I expect in this class, I will ask you to have a personal interview with me, and if your disruptive behavior continues, I will contact the Office of Students Affairs for further disciplinary procedures.

**Classroom Civility:** The O'Neill School takes matters of honesty and integrity seriously because O'Neill is the training ground for future leaders in government, civic organizations, health organizations, and other institutions charged with providing resources for the public, and for members of society who are vulnerable and who are lacking in power and status. Precisely because O'Neill graduates tend to rise to positions of power and responsibility, it is critical that the lessons of honesty and integrity are learned early.

O'Neill School requires that all members of its community – students, faculty, and staff – treat others with an attitude of mutual respect both in the classroom and during all academic and nonacademic activities outside the classroom. A student is expected to show respect through behavior that promotes conditions in which all students can learn without interruption or distraction. These behaviors foster an appropriate atmosphere inside and outside the classroom:

- Students are expected to attend class regularly and to be prepared for class.
- Students must be punctual in their arrival to class and be present and attentive for the duration of the class. Eating, sleeping, reading the newspaper, doing work for another class, wandering in and out of the classroom, and packing up or leaving class early are not civil or professional behaviors.

- Students must abide by the course policy regarding use of electronic devices in the classroom.
- Students must responsibly participate in class activities and during team meetings.
- Students must address faculty members, other students, and others appropriately and with respect, whether in person, in writing, or in electronic communications.
- Students must show tolerance and respect for diverse nationalities, religions, races, sexual orientations, and physical abilities.
- Students must not destroy or deface classroom property nor leave litter in the classroom.

Pursuant to the Indiana University Student Code of Conduct, disorderly conduct which interferes with teaching, research, administration, or other university or university-authorized activity will not be tolerated and will be immediately reported to the Office of The Dean of Students for appropriate disposition which may result in disciplinary action including possible suspension and/or expulsion from the university.

**Academic Integrity:** I expect all students' academic conduct to conform with SPEA's and IU's Student Code of Ethics. SPEA faculty do not tolerate cheating, plagiarism, or any other form of academic dishonesty. If you have not done so, you should read the IUB *Code of Student Rights, Responsibilities, and Conduct*, which can be accessed at <https://studentcode.iu.edu/> so you will be sure to understand what these terms mean and what penalties can be issued for academic dishonesty. Academic dishonesty can result in a grade of F for the class (an F for academic dishonesty cannot be removed from the transcript). Significant violations of the Code can result in expulsion from the University.

Plagiarism is using another person's words, ideas, artistic creations, or other intellectual property without giving proper credit. According to the *Code of Student Rights, Responsibilities, and Conduct*, a student must give credit to the work of another person when he/she does any of the following:

- a. Quotes another person's actual words, either oral or written.
- b. Paraphrases another person's words, either oral or written.
- c. Uses another person's idea, opinion, or theory; or
- d. Borrows facts, statistics, or other illustrative material, unless the information is common knowledge.

**Use of AI (such as ChatGPT) in this class.** Using AI (such as ChatGPT) to assist in completing assignments in this class is prohibited. If you do use AI, you will be committing plagiarism\* and will be subject to penalties in this class and sanctions by Indiana University.

**\*Plagiarism:** Plagiarism is defined as presenting someone else's work, including the work of other students, as one's own. *Any ideas or materials taken from another source* for either written or oral use *must be fully acknowledged*, unless the information is common knowledge. What is considered "common knowledge" may differ from course to course. <https://studentcode.iu.edu/responsibilities/academic-misconduct.html>. (emphasis added)

**Note Selling:** Several commercial services have approached students regarding selling class notes/study guides to their classmates. Selling the instructor's notes/study guides in this course is not permitted. Violations of this policy will be reported to the Dean of Students as academic misconduct (violation of course rules). Sanctions for academic misconduct may include a failing grade on the assignment for which the notes/study guides are being sold, a reduction in your final course grade, or a failing grade in the course, among other possibilities. Additionally, you should know that selling a faculty member's notes/study guides individually or on behalf of one of these services using IU email, or via Canvas may also constitute a violation of IU information technology and IU intellectual property policies; additional consequences may result.

**Online Course Materials:** The faculty member teaching this course holds the exclusive right to distribute, modify, post, and reproduce course materials, including all written materials, study guides, lectures, assignments,



exercises, and exams. While you are permitted to take notes on the online materials and lectures posted for this course for your personal use, you are not permitted to re-post in another forum, distribute, or reproduce content from this course without the express written permission of the faculty member. Any violation of this course rule will be reported to the appropriate university offices and officials, including to the Dean of Students as academic misconduct.

**Copyright Statement:** The handouts used in this course are copyrighted. By "handouts," I mean all materials generated for this class, which include but are not limited to syllabi, exams, in-class materials, review sheets, etc. Because these materials are copyrighted, you do not have the right to copy the handouts, unless I expressly grant permission.

**Religious Observation:** In accordance with the Office of the Dean of Faculties, any student who wishes to receive an excused absence from class must submit a request form available from the Dean of Faculties for each day to be absent. This form must be presented to the course instructor by the end of the second week of this semester. A separate form must be submitted for each day. The instructor will fill in the bottom section of the form and then return the original to the student. Information about the policy on religious observation can be found at the following website: <https://policies.iu.edu/policies/aca-59-accommodation-relig>

**Students with Disabilities:** The Americans with Disabilities Act (ADA) is a federal anti-discrimination statute that provides comprehensive civil rights protection for persons with disabilities. Among other things, this legislation requires that all students with disabilities be guaranteed a learning environment that provides for reasonable accommodation of their disabilities. For more information regarding disability services for students, see <https://studentaffairs.indiana.edu/disability-services-students/>. Any student requiring accommodation related to a disability must provide documentation from the Disability Service for Students office.

**Sexual Harassment.** As your instructor, one of my responsibilities is to help create a safe learning environment on our campus. Title IX and our own Sexual Misconduct policy prohibit sexual misconduct. If you have experienced sexual misconduct, or know someone who has, the University can help. If you are seeking help and would like to talk to someone confidentially, you can make an appointment with:

- i. The Sexual Assault Crisis Service (SACS) at 812-855-8900
- ii. Counseling and Psychological Services (CAPS) at 812-855-5711
- iii. Confidential Victim Advocates (CVA) at 812-856-2469
- iv. IU Health Center at 812-855-4011

For more information about available resources: <http://stopsexualviolence.iu.edu/help/index.html>. It is also important to know that federal regulations and University policy require me to promptly convey any information about potential sexual misconduct known to me to our campus' Deputy Title IX Coordinator or IU's Title IX Coordinator. In that event, they will work with a small number of others on campus to ensure that appropriate measures are taken and resources are made available to the student who may have been harmed. Protecting a student's privacy is of utmost concern, and all involved will only share information with those that need to know to ensure the University can respond and assist. I encourage you to visit <http://stopsexualviolence.iu.edu/help/index.html> to learn more.

#### **Counseling and Psychological Services**

For information about services offered to students by CAPS: <http://healthcenter.indiana.edu/counseling/index.shtml>

#### **TimelyCare**

Indiana students have free, 24/7 access to virtual mental health care services with TimelyCare. Students do not need insurance to access TimelyCare services. <https://www.iu.edu/mental-health/find-resources/timely-care.html#0>

#### **Commitment to Diversity: Find your home and community at IU**

##### **Asian Culture Center**

Address: 807 East Tenth Street, Bloomington, IN 47408

Phone: 812-856-5361

Email: [acc@indiana.edu](mailto:acc@indiana.edu)

Website: <https://asianresource.indiana.edu/index.html>

**First Nations Educational & Cultural Center**

Address: 712 E 8th St., Bloomington, IN 47408

Phone: 812-855-4814

Email: [fnecc@indiana.edu](mailto:fnecc@indiana.edu)

Website: <https://firstnations.indiana.edu/contact/index.html>

**Jewish Culture Center**

Address: 730 E 3rd St., Bloomington, Indiana 47401

Phone: 812-336-3824

Website: <https://iuhillel.org/iu-jewish-culture-center>

**LGBTQ+ Culture Center**

Address: 705 E 7th St., Bloomington, Indiana 47408

Phone: 812-855-4252

Email: [glbtserve@indiana.edu](mailto:glbtserve@indiana.edu)

Website: <https://lgbtq.indiana.edu/contact/index.html>

**La Casa Latino Culture Center**

Address: 715 E 7th St., Bloomington IN, 47408

Phone: 812-855-0174

Email: [lacasa@indiana.edu](mailto:lacasa@indiana.edu)

Website: <https://lacasa.indiana.edu/>

**Neal-Marshall Black Culture Center**

Address: 275 N Jordan Ave Bloomington, Indiana 47405

Phone: 812-855-9271

Email: [nmgrad@indiana.edu](mailto:nmgrad@indiana.edu)

Website: <https://blackculture.indiana.edu/index.html>

## Course Outline

**Revision of the Syllabus:** I may modify the course schedule or reading assignments at any time. If so, I will announce them in class, by email, or on Canvas. All readings are available on Canvas under each assigned module.

### **1<sup>st</sup> Week: January 13-19. Introductory Zoom Sessions (select one, see below) and Class Assignment.**

In the first class, I want to offer two Zoom sessions to introduce our course, answer your questions, and clarify any potential doubts about class assignments. In this first session, we will learn about what is public policy, what is policy study, and what are the categories of public policy. To achieve that, please read the [following chapter](#), available on [Canvas Module 1](#), and work on the following assignment. You are expected to submit an individual report via Canvas. The report should be a two-page, double-spaced, and 12-font size in which you will address the following questions: Why do we study policy? **What is public policy? What is policy study? What are the categories of public policy? What is a theory? What are the stages of the policy making process?** Due date, midnight on Sunday, January 14<sup>th</sup> via Canvas.

## Weekly Learning Objectives

- Obtaining a big picture of the course content
- Understanding the importance of studying policy making process

## Readings and Resources Available on Canvas

- READ: [Anderson, James. 2008. "The Study of Public Policy." In \*Public Policymaking: An Introduction\*. James Anderson, pp.1-32. Houghton-Mifflin.](#)

## To-Do THIS WEEK

- READ: Please complete the [reading outlined above](#) by: **Friday, January 17**
- SUBMIT: Please submit this week's assignment by: **Friday, January 17 via Canvas**
- SUBMIT: I encourage you to introduce yourself via "Introduce Yourself" under module [Getting Started](#)
- ATTEND ONE OF THE TWO ZOOM SESSIONS in which Professor Avellaneda will answer any questions about the course and class assignments.
  - Should you not be able to attend any of the scheduled questions and have questions, please arrange a zoom meeting by contacting Professor Avellaneda via email at [cavellan@iu.edu](mailto:cavellan@iu.edu)
  - **First Zoom session: 4:30 pm on Tuesday, January 14:**  
<https://iu.zoom.us/j/4178142714>



- **Second Zoom session: 9:30 am on Thursday, January 16:**  
<https://iu.zoom.us/j/4178142714>

## **2<sup>nd</sup> Week: January 20-26. What is a theory? How to assess a theory? Why do we study theories? Overview of the theories of the policy process.**

This week we will discuss what a theory is, the importance of developing theories, the key elements to causality. We also will be exposed to some of the theories that explain the policy making process.

### **Weekly Learning Objectives**

- Understanding what a theory is.
- Identifying the elements to determine causality.
- Identifying some of the theories that explain the policy making process.

### **Readings and Resources Available on Canvas**

- READ: [Braithwaite, Richard Bevan. 1953. \*Scientific Explanation\*. Chapter 1: "Introductory." New York: Harper & Brothers](#)
- READ: [Hill, Kim Quail. 1997. "In Search of Policy Theory." \*Policy Currents\*, 7\(1\): 1-9.](#)
- READ: [Schlager, E. 1997. "A Response to Kim Hill's' In Search of Policy Theory." \*Policy Currents\*, 7\(2\): 14-17.](#)
- READ [Sabatier, Paul A. 2007. "The Need for Better Theories." In \*Theories of the Policy Process\*. Paul A. Sabatier, ed. Chapter 1. Boulder, Colorado: Westview Press.](#) **ed Readings**

### **To-Do This Week**

- READ: Please complete the readings outlined above by the end of the week
- CONSIDER **submitting a discussion summary covering the four assigned readings for this week (you are expected to submit three discussion summaries: two prior to mid-term exam)**
- DISCUSS: Please submit this week's discussion post by midnight on **Friday, January 24.**

### 3<sup>rd</sup> Week: January 27-February 2. Comparative Policy Making Process

The readings assigned to this week will introduce us to the interesting sub-field of comparative policy making process. Identifying the contexts, actors, processes, obstacles, institutions, strategies, and forces that influence policy making in other countries helps us understand the policy patterns both in developed and developing settings.

#### Weekly Learning Objectives

- Defining what comparative policy making means
- Identifying the different contexts, actors, strategies, and procedures in making policies in other countries
- assessing the validity of theories developed in the US context when tested in other settings.

#### Readings; Available on Canvas

READ: [Matt Wilder. 2017. "Comparative Public Policy: Origins, Themes, New Directions". \*Policy Studies Journal\*, Vol. 45\(1\): 547-566.](#)

READ: [Horowitz, Donald. 1989. "Is there a Third-World Policy Process?" \*Policy Science\*, 22: 197-212](#)

READ: [Saasa, Oliver S. 1985. "Public Policymaking in Developing Countries: The Utility of Contemporary Decision-Making Models." \*Public Administration and Development\*, 5\(4\): 309-321.](#)

READ: [Mulligan, C. B., Gil, R., & Sala-i-Martin, X. \(2004\). "Do democracies have different public policies than nondemocracies?" \*Journal of Economic Perspectives\*, 18\(1\), 51-74.](#)

#### To-Do This Week

- READ: Please complete the readings outlined above by the end of the week
- SUBMIT: Consider submitting a discussion summary covering the fourth assigned readings **by midnight on Sunday, February 2nd.**
- SUBMIT: Please submit your discussion posts **by midnight on Friday, January 31**

## 4<sup>th</sup> Week. February 3-9 Policy Makers' Environment and Policy Formation

This week we will learn about the different environments to which policy makers are exposed and how these environments affect their policy making. Professor Anderson, the book's author, also presents us a chapter in which he introduces the second stage of the policy making process: agenda setting, as well as the types of agenda setting and the different factors that affect agenda setting.

### Weekly Learning Objectives

- Identify the different environments to which policy makers are exposed and how these environments affect their policy making.
- Defining agenda setting and recognizing some of the factors, actors, and external shocks that affect agenda setting.
- understand the different types of agenda agenda setting.

### Readings and Resources: Available on Canvas

READ: Anderson, James. 2008. "Policy Makers' Environment." In *Public Policymaking: An Introduction*. Houghton-Mifflin. Chapter 2.

READ: [Anderson, James. 2008. "Policy Formation: Problems, Agendas, and Formulation." In \*Public Policymaking: An Introduction\*. Houghton-Mifflin. Chapter 3.](#)

### To-Do this Week

- READ: Please complete the readings outlined above before the end of the week.
- SUBMIT: Please consider submitting a discussion summary covering the readings of this week **by midnight on Sunday, February 9.**
- SUBMIT: Please submit your discussion posts **by midnight on Friday, February 7.**

## 5<sup>th</sup> Week: February 10-16. Policy Formation:

This week, we will discuss several themes including: Issues, Problem Definition, Agenda Setting and the Multiple Stream Approach. Key questions to have in mind while reading the assigned material: What is an issue? How do you define a problem? What are the actors, institutions, contexts, and factors affecting agenda setting? What are the assumptions of the Multiple Stream Approach? What stage of the policy making process can we understand with the Multiple Stream Approach?

### Weekly Learning Objectives

- Defining what an issue is.
- Understanding the different dimensions by which problems can be defined.
- Learning the different stages of the policy making process
- Identifying some of the actors, factors that can affect agenda setting.
- Learning about the Multiple Stream Approach and how it is related to the agenda setting.

### Readings and Resources

READ: [Cobb, Roger and Charles D. Elder. 1983. What is an Issue? What Makes an Issue? In Participation in American Politics: the Dynamics of Agenda Building, 82-93. Baltimore: Johns Hopkins University Press.](#)

READ: [Portz, John. 1996. "Problem Definitions and Policy Agendas: Shaping the Educational Agenda in Boston." \*Policy Studies Journal\*, 24: 371-86.](#)

READ: [Birkland, Thomas A. 1998. "Focusing Events, Mobilization, and Agenda Setting." \*Journal of Public Policy\*, 18\(1\): 53-74.](#)

READ: [Zahariadis, Nikolaos. 2007. "The Multiple Streams Framework." In Zahariadis, Nikolaos. 2007. "The Theories of the Policy Process, 2<sup>nd</sup> ed. Paul A. Sabatier, ed. Chapter 3. Boulder, Colorado: Westview Press.](#)

### To-Do This Week

- READ the assigned material by the end of the week.
- SUBMIT: Please consider submitting one of the discussion summaries **by midnight on Sunday, February 16.**
- SUBMIT: Please submit your discussion post **by midnight on Friday, February 14.**

#### Suggested readings:

Goyal, N. (2021), Explaining Policy Success Using the Multiple Streams Framework: Political Success Despite Programmatic Failure of the Solar Energy Policy in Gujarat, India. *Politics Policy*.  
<https://doi.org/10.1111/polp.12426>

Becker Pessolani, Carlos Gustavo. 2016. "An Application of the Multiple Streams Framework to the Analysis of the Inclusion of Solar Energy in the Energy Mix in Paraguay." *Latin American Policy*, 7(1): 163-186.  
<https://doi.org/10.1111/lamp.12089>

## 6<sup>th</sup> Week. February 17-23. Policy Formulation:

This week, we will learn about the different solutions policy makers may suggest when addressing a problem. The set of solutions may include Incrementalism, Punctuated Equilibrium, and Disproportional Information Processing. Please consider these questions when reading the assigned material: How to formulate policies? Is policy formulation contingent on the issue area? What are the actors, institutions, and contexts affecting policy formulation? How to destroy a policy monopoly?

### Weekly Learning Objectives

- Understanding the pros and cons of incremental solutions to issues
- Identifying policy monopoly and how it can be broken and/or maintained.
- Exploring the role of politics (unified vs divided government) on the formulation of solutions to problems

### Readings and Resources

- READ: [True, L. James, Bryan D. Jones, and Frank R. Baumgartner. 2007. "Punctuated-Equilibrium Theory: Explaining Stability and Change in Public Policymaking." In Theories of the Policy Process, 2<sup>nd</sup> ed. Paul A. Sabatier, ed. Chapter 6. Boulder, Colorado: Westview Press](#)
- READ: [Schulman, Paul R. 1975. "Nonincremental Policy Making." American Political Science Review, 69\(4\): 1354-1370.](#)
- READ: [Jones, Bryan, et al. 1997. "Does Incrementalism Stem from Political Consensus or From Institutional Gridlock?" American Journal of Political Science, 41\(4\): 1319-1339.](#)
- READ: [Breunig C., C. Koski, P. B. Mortensen. 2009. "Stability and Punctuations in Public Spending: A Comparative Study of Budget Function." Journal of Public Administration Research and Theory, 20\(3\): 703.](#)

### To-Do this Week

- READ: Please complete the readings outlined before the end of the week.
- DISCUSS: Please consider submitting this week's discussion summary covering the assigned readings **by midnight on Sunday, February 23.**
- SUBMIT: Please submit your discussion post by **midnight on Friday, February 21.**

## 7<sup>th</sup> Week: February 24-March 2. Decision-making: Policy Adoption and Change:

**\*Midterm exam is handed out and due at midnight on Friday, March 14.**

This week, we will learn the dynamics of different group sizes. This is important to understand the assumptions of The Advocacy Coalition Framework. While reading the literature for this week, please have in mind the following questions: What are the actors, institutions, and contexts affecting decision-making? What are the assumptions of the advocacy coalition framework? What are the assumptions of the theory of groups?

### Weekly Learning Objectives

- Identifying the actors, institutions, and contexts affecting decision-making
- Recognizing the assumptions of the advocacy coalition framework
- Understanding why group size matters for policy adoption and what are the assumptions of theory of groups.

### Readings and Resources

- READ: [Mancur Olson, Jr. 1971 \[1965\]. \*The Logic of Collective Action: Public Goods and the Theory of Groups\* \(Revised edition ed.\). Chapter 1. Harvard University Press.](#)
- READ: [Mancur Olson, Jr. 1971 \[1965\]. \*The Logic of Collective Action: Public Goods and the Theory of Groups\* \(Revised edition ed.\). Chapter 2. Harvard University Press.](#)
- READ: [Sabatier, Paul and Christopher M. Weibull. 2007. "An Advocacy Coalition Framework." \*In Theories of the Policy Process\*, 2<sup>nd</sup> ed. Paul A. Sabatier, ed. Chapter 7. Boulder, Colorado: Westview Press.](#)
- READ: [Mintrom, Michael and Sandra Vergari. 1996. "Advocacy Coalitions, Policy Entrepreneurs and Policy Change." \*Policy Studies Journal\*, 24:420-38.](#)
- READ: [Conteh, Charles and Frank L. K. Othemeng. 2009. "The Politics of Decision-making in Developing Countries." \*Public Management Review\*, 11\(1\): 57-77.](#)

### To-Do this Week

- READ: Please complete the readings outlined above before the end of the week.
- DISCUSS: Please submit a discussion summary this week. **Due at midnight on Sunday, March 2.**
- SUBMIT: Please submit your discussion posts by **midnight on Friday, February 28**



## 8<sup>th</sup> Week: March 3-9 Institutional Rational Choice \*Midterm exam is due at midnight on Friday, March 14.

This week, we will learn the role of institutions (formal and informal) in decision making. Specifically, we will focus on the Institutional Analysis Development Framework. What are the assumptions of institutional analysis and development framework? What are the factors affecting the creation of self-governing institutions? What are the common characteristics across successful self-governing institutions? What are the common features across failed self-governing institutions?

### Weekly Learning Objectives

- Defining formal and informal institutions
- Understanding the elements and dynamics of the Institutional Analysis Development Framework.
- Recognizing the factors affecting the creation of self-governing institutions
- Identifying the common characteristics across successful self-governing institutions and across failed self-governing institutions

### Readings and Resources

- READ: [Ostrom, Elinor. 1990. \*Governing the Commons\*. New York: Cambridge University Press. Chapter 1, 1-28.](#)
- READ: [Ostrom, Elinor. 1990. \*Governing the Commons\*. New York: Cambridge University Press. Chapter 2, pp. 29-57.](#)
- READ: [Ostrom, Elinor. 1990. \*Governing the Commons\*. New York: Cambridge University Press. Chapter 3, pp. 58-102.](#)
- READ: [Ostrom, Elinor. 2007. "Institutional Rational Choice: An Assessment of the Institutional Analysis and Development Framework" In \*Theories of the Policy Process\*, 2<sup>nd</sup> ed. Paul A. Sabatier, ed. Chapter 2. Boulder, Colorado: Westview Press.](#)

### To-Do this Week

- READ: Please complete the readings outlined above before the end of the week.
- SUBMIT: Please submit a discussion summary this week **by midnight on Sunday, March 9.**
- SUBMIT: Please submit your discussion posts by **midnight on Friday, March 7.**

**9<sup>th</sup> Week. March 10-16. No Class. Time to work on the mid-term Exam due at midnight, on Friday, March 14. via Turnitin Canvas**

**March 17-23. SPRING BREAK**

## 10<sup>th</sup> Week: March 24-30. Policy Adoption and Change:

This week we will be exposed to the topics of Diffusion and Innovation. Please keep in mind the following question while reading the assigned material: How to define innovation and invention? What are the channels through which a policy can be diffused? What are the actors, mechanisms, and contexts affecting policy innovation?

### Weekly Learning Objectives

- Defining and differentiating innovation and invention
- Identifying the channels through which a policy can be diffused
- Become familiar with the actors, mechanisms, and contexts affecting policy innovation.

### Readings and Resources

- Berry, Frances and William D. Berry. 2007. "[Innovation and Diffusion Models in Policy Research.](#)" In [Theories of the Policy Process, 2<sup>nd</sup> ed.](#) Paul A. Sabatier, ed. Chapter 8. Boulder, Colorado: Westview Press
- Teodoro, Manuel P. 2009. "[Bureaucratic Job Mobility and the Diffusion of Innovations.](#)" *American Journal of Political Science*, 53(1): 175-189.
- Jensen, Jason L. 2003. "[Policy Diffusion through Institutional Legitimation: State Lotteries.](#)" *Journal of Public Administration Research and Theory*, 13(4): 521-541.
- Lee, Hannah, A. and Daniel J. Mallinson. 2018. "[Defiant Innovation: The Adoption of Medical Marijuana Laws in the American States](#)". *Policy Studies Journal*, 46(2): 402-423.
- Rostgaard, Majbritt Evald, Helle Aarøe Nissen, Ann Højbjerg Clarke, Kristin Balslev Munksgaard. 2014. "[Reviewing cross-field Public Private Innovation literature: Current research themes and future research themes yet to be explored](#)"

### To-Do this Week

- READ: Please complete the readings outlined above before the end of the week.
- DISCUSS: Please submit this week's discussion **by midnight on Sunday, March 30.**
- SUBMIT: Your discussion posts **by midnight on Friday, March 28.**
- **Start thinking about the policy presentation and the draft of the power point.**

## 11<sup>th</sup> Week: March 31-April 6. Policy Implementation:

This week we will learn about the implementation stage of the policy making process. Bear in mind the following questions while reading the assigned material. What is policy implementation? What are the actors, institutions, contexts, and factors affecting policy implementation? Is the study of policy implementation contingent on policy area?

### Weekly Learning Objectives

- Learning what policy implementation is
- Recognizing the actors, institutions, contexts, and factors affecting policy implementation
- Identifying the different contingencies influencing the implementation or policies/programs

### Readings and Resources

Sabatier, Paul A. 1986. "Top-Down and Bottom-Up Approaches to Implementation Research: A Critical Analysis and Suggested Synthesis." *Journal of Public Policy*, 6(1): 21-48.

Lundin, Martin. 2007. "When Does Cooperation Improve Public Policy Implementation?" *Policy Studies Journal*, 35(4): 629-652.

Waters Robichau, Robbie and Laurence E. Lynn Jr. 2009. "The Implementation of Public Policy: Still the Missing Link." *Policy Studies Journal*, 37 (1): 21-36.

Trautman, R. R. 2016. "Small-Town Policy Makers." *Public Administration Review*. doi: 10.1111/puar.12526

Tummers, L., Steijn, B. and Bekkers, V. 2012. "Explaining the Willingness of Public Professionals to Implement Public Policies: Content, Context, and Personality Characteristics". *Public Administration*, 90: 716-736.

#### ***Suggested Readings:***

Cohon, Adam J. 2010. "Tailoring Reform: Policymaking and Policy Implementation in Latin America. *Latin American Politics and Society*

### To-Do this Week

- READ: Please complete the readings outlined above before the end of the week
- SUBMIT: Consider submitting a discussion summary **by midnight on Sunday, April 6.**
- SUBMIT: Please post your discussion posts **by midnight on Friday, April 4.**
- SUBMIT: Recall you must submit the power point presentation at least one week in advance to receive my feedback. Policy presentaciones start on the April 21-27 week.

## 12<sup>th</sup> Week: April 7-13. Policy Design.

This week we will explore the importance of policy design for policy implementation. Please keep the following questions in mind while reading the assigned material. What is policy design? How does policy design affect implementation? What are the factors affecting policy design?

### Class Objectives

- Defining policy design
- Understanding how policy design affects implementation.
- Identifying some of the factors affecting policy design

### Readings and Resource

Schneider, Anne and Helen Ingram. 1993. "Social Construction of Target Populations: Implications for Politics and Policy." *American Political Science Review* 87:334-47.

Nicholson-Crotty, Sean. 2007. "The Impact of Program Design on Enrollment in State Children's Health Insurance Programs." *Policy Studies Journal*, 35(1):23-35.

Mumper, Michael. 2003. "Does Policy Design Matter? Comparing Universal and Targeted Approaches to Encouraging College Participation." *Educational Policy*, 17(1): 38-59.

May, Peter J. 1991. "Reconsidering Policy Design: Policies and Publics." *Journal of Public Policy*, 11(2): 187-206.

### To-Do this Week

- READ: Please complete the readings outlined above before the end of the week
- SUBMIT: Please submit this week's discussion **by midnight on Sunday April 13.**
- SUBMIT: your discussion posts **by midnight on Friday, April 11.**
- **SUBMIT: Recall you have to submit the power point presentation at least one week in advance to receive feedback. Policy presentations start on the April 21-25 week.**

## 13<sup>th</sup> Week: April 14-20. Policy Evaluation and Final exam is handed out.

This week we will learn about the importance of policy evaluation, which is the last stage of the policy making process. Please have the following questions while doing the readings. When is it appropriate to evaluate a policy? What are the criteria to evaluate a policy? What type of evaluation is more likely to have practical implications? How to facilitate communication between policy evaluators and policy makers?

### Weekly Learning Objectives

- Learning when it is appropriate to evaluate a policy.
- Identifying the criteria to evaluate a policy
- Recognizing what type of policy evaluations are more likely to have practical implications.
- Learning how to facilitate communication between policy evaluators and policy makers

### Readings and Resources

Feldman, Penny Hollander, Pamela Nadash, and Michal Gursen. 2001. "Improving Communication between Researchers and Policy Makers in Long-Term Care: Or, Researchers Are From Mars; Policy Makers Are From Venus." *The Gerontologist*, 41(3): 312–321.

Grasso, Patrick. 2003. "What Makes an Evaluation Useful?" *American Journal of Evaluation* 24 (4): 507-514.

Whiteman, David. 1985. "The Fate of Policy Analysis in Congressional Decision Making: Three Types of Use in Committees." *Western Political Quarterly*, 38(2):294-311.

Anderson, James. 2011. "Policy Impact, Evaluation, and Change." In *Public Policymaking: An Introduction*. James Anderson, chapter 7. Houghton-Mifflin.

#### ***Suggested readings:***

OECD (2020), *Improving Governance with Policy Evaluation: Lessons From Country Experiences*, OECD Public Governance Reviews, OECD Publishing, Paris, <https://doi.org/10.1787/89b1577d-en>

### To-Do this Week

- READ: Please complete the readings outlined above by the end of the week
- SUBMIT the last discussion summary **by midnight on Sunday, April 20.**
- SUBMIT: Please submit your discussion posts by **midnight on Friday, April 18.**
- **SUBMIT: Recall you must submit the power point presentation at least one week in advance to receive feedback. Policy Presentations start next week.**



## 14<sup>h</sup> Week: April 21-27. Student presentations

**Policy Case Presentation:** According to the class schedule, each student will have between 15-20 minutes to do a presentation. In this presentation, the student is expected to choose any policy area (e.g., environmental, foreign policy, energy, agricultural, education, housing, ageing, drug abuse, disability, economic, tax, social, etc.). Within this policy area, you will identify a potential problem for which you will apply all the stages of the policy making process (problem identification, agenda setting, policy formulation, policy adoption, policy implementation, and policy evaluation). Given that the course addresses comparative and international policy making, **students are encouraged to choose an international problem or a problem that a non-USA country faces.** You are more than welcome to contact me before the presentation to make sure you are on the right track.

## Weekly Learning Objectives

- Applying all the material discussed in class in a real-life policy problem.
- Illustrating how to address and solve a policy problem across all the stages of the policy making process.

## To-Do this Week

- READ: Please read the guidelines for policy presentation.
- SUBMIT your power point presentation before your assigned time for the presentation.

### Guidelines for Presentation

1. Choose a policy area (health, education, transportation, environment, security, immigration, foreign affairs, etc) and within it identify a severe problem which calls for governmental attention. Should this particular problem be successful in getting both governmental attention and action, explain the stages, including implementation, by which it has to go through. In doing so, for each of the stages make sure to discuss the following:
  - a) The facts (statistics), process, concepts, dimensions, framing, key actors, and/or key factors (social, political, economic, environmental, institutional, national, international, etc) that can potentially influence each stage.
  - b) Explain the framework(s) (or theories) that help explain each stage—you must refer to the readings discussed in class.

### Some guidelines that should help you structure the presentation.

1. Each student will have 15-17 minutes to do a presentation. No more than 8-10 slides
2. Write a script: make sure you write out or at least outline your presentation before trying to put together slides.
3. One thing at a time. At any given moment, what should be on the screen is the thing you're talking about.
4. Neither paragraphs nor long sentences: Your slides are the illustrations for your presentation, not the presentation itself. They should underline and reinforce what you're saying as you give your presentation.
5. Use images sparingly—if needed.
6. Be consistent with font, size and design.
7. Modulate, modulate, modulate; it can be easy to fall into a drone, going on and on and on and on and on with only minimal changes to your inflection. Always speak as if you were speaking to a friend, not as if you are reading off index cards.

## 15<sup>th</sup> Week: April 28-May 2. Student Presentations Second Round

**Policy Case Presentation:** According to the class schedule, each student will have between 15-20 minutes to do a presentation. In this presentation, the student is expected to choose any policy area (e.g., environmental, foreign policy, energy, agricultural, education, housing, ageing, drug abuse, disability, economic, tax, social, etc.). Within this policy area, you will identify a potential problem for which you will apply all the stages of the policy making process (problem identification, agenda setting, policy formulation, policy adoption, policy implementation, and policy evaluation). Given that the course addresses comparative and international policy making, **students are encouraged to choose an international problem or a problem that a non-USA country faces**. You are more than welcome to contact me before the presentation to make sure you are on the right track.

### Weekly Learning Objectives

- Applying all the material discussed in class in a real-life policy problem.
- Illustrating how to address and solve a policy problem across all the stages of the policy making process.

### To-Do this Week

- READ: Please read the guidelines for policy presentation.
- SUBMIT your power point presentation before your assigned time for the presentation.

**16<sup>th</sup> Week: May 6th: Final take-home exam is due at midnight via Canvas and Turnitin**

*Have a happy, healthy, and productive semester!*