

Policy Design and Implementation

PPOL 501/INTL 401

Fall 2019

Professor Caner Bakır

Venue: Case216

Seminar hours: Wednesday, 13.00-15.15

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Course Description

Objectives

This course aims to introduce students advanced topics in public policy from an interdisciplinary and comparative perspective using theories to explain government decisions and actions that account for public policy outcomes. It is based on *seminars*. It is about understanding what governments do and how they do it. This requires a nuanced understanding of the government's policy formulation and implementation. This course looks at how government policies are formulated and implemented: how problems and solutions are defined and linked with policy making processes, why policy instruments are important and how they are designed, selected and implemented, linkages between organisational policy capacity and state capacity, how interactions among structural, institutional and agency-level contexts inform policy design and implementation, what roles ideas, interests and discourses mobilized by agents play in policy design and implementation, how and when policy instruments can trigger causal mechanisms that deliver desired outcomes, and how comparative political economy perspective helps us to understand policy design and implementation processes.

This course equips students to better understand and evaluate policy design and implementation processes, and importantly provides tools to better understand why some policies deliver desired outcomes, whilst others do not. Students will be equipped with fundamental concepts, frameworks and tools needed to identify complex national and global policy problems and generate their innovative and practical solutions. Curated cases will be used to explore policy design and implementation in an interdisciplinary and comparative perspective. By the end of this course, students will be able to link various concepts,

theoretical approaches and methods aiming to bridge public policy and political economy to analyze complex problems, workable solutions and their effective implementation in various countries and policy areas.

Fourth year undergraduate students may take this course with the approval of instructor. The workload will be adjusted accordingly.

Course Structure: The course is divided in two parts. The first part introduces various concepts, theoretical approaches and empirical findings from various disciplines including policy sciences, political economy, and public administration to offer a background of how policy design and implementation can be assessed and evaluated, and ultimately improved. The second part provides students with the opportunity to present the results of their research into key areas of contemporary design thinking and practice.

Grading:

Presentations on class readings	20%
Participation in seminar discussions	20%
Research Paper Outline	5%
Research Paper Class Presentation	15%
Final research paper	40%

Research Paper Topic:

Complex policy problems that confront governments has renewed interest in recent years on the importance of policy design and implementation. How the design and implementation of policy programs can be improved to achieve better socioeconomic outcomes is an issue for both scholars and practitioners and has generated much recent writing and research on the subject. Choose a key policy issue and program in Turkey (topics from other countries require prior instructor permission) and set out its structural (macro), institutional (meso), and agency (micro) contexts. This paper should be engaged with the following issues: how problems and solutions are defined and linked with policy making processes, what policy instruments are available and how they are designed, selected and implemented, linkages between organisational policy capacity and state capacity, how interactions among structural, institutional and agency-level contexts inform policy design and implementation, what roles ideas, interests and discourses mobilized by agents play in policy design and implementation, how and when policy instruments can trigger causal mechanisms that deliver desired outcomes, and how comparative political economy perspective helps us to understand policy design and implementation processes.

Note: As a part of student-centered learning, each student will be assigned a specific week to make a presentation based on reading material and bring a current news/case that relates to weekly readings for class discussion. You are expected to circulate a printed copy of the news during the class.

TEXTS

Books are on reserve desk. Articles listed are available at

Required Text:

Howlett, Michael. *Designing Public Policies: Principles and Instruments*. New York: Routledge, (2nd eds) 2019.

Recommended Texts:

Bakir, C. and Ertan, G. (2018). *Policy Analysis in Turkey*. Bristol: University of Bristol Policy Press.

WEEKLY READING LIST

PART I – LECTURES/SEMINARS

Week I (SEPT 18) - Introduction and Administration: Understanding the Role of Policy Design in Contemporary Policy Making

Required

Howlett, Michael. 2019. *Designing Public Policies: Principles and Instruments*, New York: Routledge, chp.1

Howlett, Michael. “Policy Design: What, Who, How and Why?” In *L'instrumentation et Ses Effets*, edited by Halpern Charlotte, Lascoumes Pierre, and Le Galès Patrick, 281–315. Paris: Paris, Presses de Sciences Po., 2014.

Bobrow, Davis. “Policy Design: Ubiquitous, Necessary and Difficult.” In *Handbook of Public Policy*, edited by B. Guy Peters and Jon Pierre, 75–96. SAGE, 2006.

Mintrom, Michael, and Joannah Luetjens. “Design Thinking in Policymaking Processes: Opportunities and Challenges.” *Australian Journal of Public Administration* 75, no. 3 (September 1, 2016): 391–402.

Week II (SEPT 25)– Policy Design in the Contemporary Era: Beyond Globalization and Governance, what is policy design?

Required

Howlett, Michael. 2019. Chp.2 and 3.

Howlett, Michael. “Governance Modes, Policy Regimes and Operational Plans: A Multi-Level Nested Model of Policy Instrument Choice and Policy Design.” *Policy Sciences* 42, no. 1 (2009): 73–89.

Recommended:

Howlett, Michael, Ishani Mukherjee, and Jun Jie Woo. “From Tools to Toolkits in Policy Design Studies: The New Design Orientation towards Policy Formulation Research.” *Policy & Politics* 43, no. 2 (2015): 292–311.

Sandfort, Jodi, and Stephanie Moulton. *Effective Implementation in Practice: Integrating Public Policy and Management*. San Francisco: Jossey-Bass, 2015 Chapter 1

Kagan, R. A. "Adversarial Legalism and American Government." *Journal of Policy Analysis and Management* 10, no. 3 (1991): 369–406.

Week III (OCT 2)– Why Policy Design

Required:

Howlett, Michael. 2019. Chp.4.

Howlett, M. "Managing the 'Hollow State': Procedural Policy Instruments and Modern Governance." *Canadian Public Administration* 43, no. 4 (2000): 412–31.

Lang, Achim. "Collaborative Governance in Health and Technology Policy: The Use and Effects of Procedural Policy Instruments." *Administration & Society*, 2019, Vol. 51(2) 272–298.

Braathén, Nils Axel. "Instrument Mixes for Environmental Policy: How Many Stones Should Be Used to Kill a Bird?" *International Review of Environmental and Resource Economics* 1, no. 2 (May 16, 2007): 185–235.

Keast, Robyn, Kerry Brown, and Myrna Mandell. "Getting the Right Mix: Unpacking Integration Meanings and Strategies." *International Public Management Journal* 10, no. 1 (January 1, 2007): 9–33.

Howlett, Michael, and Pablo del Rio. "The Parameters of Policy Portfolios: Verticality and Horizontality in Design Spaces and Their Consequences for Policy Mix Formulation." *Environment and Planning C* 33, no. 5 (2015): 1233–45.

Schaffrin, André, Sebastian Sewerin, and Sibylle Seubert. "The Innovativeness of National Policy Portfolios – Climate Policy Change in Austria, Germany, and the UK." *Environmental Politics* 23, no. 5 (September 3, 2014): 860–83.

Week IV (OCT 9) – Who are policy designers? How do policy designs work?

Required

Howlett, Michael. 2019. Chps.6, 7.

Kohoutek, Jan, Martin Nekola, and Vilém Novotný. "Conceptualizing Policy Work as Activity and Field of Research." *Central European Journal of Public Policy* 7, no. 1 (June 30, 2013): 28–58.

Howlett, Michael, and Adam Wellstead. "Policy Analysts in the Bureaucracy Revisited: The Nature of Professional Policy Work in Contemporary Government." *Politics & Policy* 39, no. 4 (August 1, 2011): 613–33.

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

Craft, Jonathan, and Michael Howlett. "Policy Formulation, Governance Shifts and Policy Influence: Location and Content in Policy Advisory Systems." *Journal of Public Policy* 32, no. 2 (2012): 79–98

Week V (OCT 16) – What does structures, institutions, and agency (SIA) to do with policy design and implementation?

Required

Bakir, C. (2013) *Bank Behavior and Resilience: The Effect of Structures, Institutions and Agents*, Houndmills, Palgrave MacMillan. Chps.1, 2, 4, 5.

Hay, Colin (2002) *Political Analysis*. Basingstoke: Palgrave. Chapter 3.

Hay, Colin (2009) 'King Canute and the Problem of Structure and Agency: On Time, Tides and Heresthetics', *Political Studies*, 57 (2), 260-79.

Week VI (OCT 23)- Political economy of policy design and implementation: an institutional analysis

Required

Campbell, J. L. (2004) *Institutional Change and Globalization*, Princeton, NJ, Princeton University Press. Chps.1,4.

Peter, John. 2018 "Theories of policy change and variation reconsidered: A prospectus for the political economy of public policy." *Policy Sciences*, 51(1): 1–16.

Thelen, K. "How Institutions Evolve: Insights from Comparative Historical Analysis." In *Comparative Historical Analysis in the Social Sciences*, edited by J. Mahoney and D. Rueschemeyer, 208–40. Cambridge: Cambridge University Press, 2003.

Heijden, Jeroen van der. "Institutional Layering: A Review of the Use of the Concept." *Politics* 31, no. 1 (January 10, 2011): 9–18.

Howlett, Michael, and Jeremy Rayner. "Patching vs Packaging in Policy Formulation: Assessing Policy Portfolio Design." *Politics and Governance* 1, no. 2 (2013): 170–82.

Feindt, Peter H, and Andrew Flynn. "Policy Stretching and Institutional Layering: British Food Policy between Security, Safety, Quality, Health and Climate Change." *British Politics* 4, no. 3 (2009): 386–414.

Kay, Adrian. "Tense Layering and Synthetic Policy Paradigms: The Politics of Health Insurance in Australia." *Australian Journal of Political Science* 42, no. 4 (2007): 579–91.

Howlett, Michael, and I. Mukherjee. "Design and Non-Design in Policy Formulation: Where Knowledge Meets Power in the Policy Process." In *Handbook of Policy Formulation*, 2017.

Colebatch, HK. "The Idea of Policy Design: Intention, Process, Outcome, Meaning and Validity." *Public Policy and Administration*, May 18, 2017, 952076717709525.

Week VII (OCT 30)- Policy/institutional entrepreneurship in policy design and implementation

Required

Kingdon, J. W. ([1984] 1995) *Agendas, Alternatives, and Public Policies* (Second edition). New York, NY, HarperCollins College Publishers.

Bakir, C. (2009). "Policy Entrepreneurship And Institutional Change: Multi-level Governance Of Central Banking Reform", *Governance: An International Journal of Policy, Administration and Institutions*, 22(4): 571-598.

Bakir C and Jarvis D (2017) Contextualising the context in policy entrepreneurship and institutional change. *Policy and Society* 36(4): 465–478.

Bakir, C. and Gunduz, A. (2017). "When, Why and How Institutional Change Takes Place and Policy Entrepreneurship Matters in Macroeconomic Bureaucracies: A Systematic Review and a Future Research Agenda", *Policy and Society*. 36(4):479-503.

Bakir, C. and Gunduz, A. (2020). "The importance of policy entrepreneurs in developing countries: A systematic review and future research agenda", *Public Administration and Development* (in press).

Week VIII (NOV 6)- Instrument constituencies and instrument mixes

Required

- Beland, Daniel, and Michael Howlett. "How Solutions Chase Problems: Instrument Constituencies in the Policy Process." *Governance* 29, no. 3 (2016): 393–409.
- Mukherjee, Ishani, and Michael Howlett. "Who Is a Stream? Epistemic Communities, Instrument Constituencies and Advocacy Coalitions in Public Policy-Making." *Politics and Governance* 3, no. 2 (August 26, 2015): 65.
- Simons, Arno and Jan-Peter Voss. "Policy Instrument Constituencies." In *Handbook of Policy Formulation*, edited by Michael Howlett and Ishani Mukherjee, 355–72. Cheltenham: Edward Elgar, 2017.
- Voß, Jan-Peter, and Arno Simons. "Instrument Constituencies and the Supply Side of Policy Innovation: The Social Life of Emissions Trading." *Environmental Politics* 23, no. 5 (June 27, 2014): 735–54.
- Beland, Daniel, Rosina Foli, Michael Howlett, M. Ramesh, and JJ Woo. "Instrument Constituencies and Transnational Policy Diffusion: The Case of Conditional Cash Transfers." *Review of International Political Economy*, 2018.

Week IX (NOV 13)– Causal mechanisms and policy design and implementation

Required

- Pawson R (2006) *Evidence-Based Policy: A Realist Perspective*. London: Sage. Chps. 1,3,4,7.
- Howlett, Michael. 2019. Chp.5.
- Bakir, C. (2019). "Actions, Contexts, Mechanisms and Outcomes in Macroprudential Policy Design and Implementation", *Public Policy and Administration* forthcoming.
- Falleti TG and Lynch JF (2009) Context and causal mechanisms in political analysis. *Comparative Political Studies* 42(9): 1143–1166.
- Weaver, R. Kent. "Getting People to Behave: Research Lessons for Policy Makers." *Public Administration Review* 75, no. 6 (November 1, 2015): 806–16.
- Weaver, R. Kent. "Compliance Regimes and Barriers to Behavioral Change." *Governance* 27, no. 2 (April 1, 2014): 243–65

Week X (NOV 20)– Policy and state capacity in policy design and implementation

Required

- Chindarkar, Namrata, Michael Howlett, and M Ramesh. "Introduction to the Special Issue: 'Conceptualizing Effective Social Policy Design: Design Spaces and Capacity Challenges.'" *Public Administration and Development* 37, no. 1 (February 1, 2017): 3–14.
- Wu, X., M. Ramesh, and M. Howlett. "Policy Capacity: A Conceptual Framework for Understanding Policy Competences and Capabilities." *Policy and Society*, 2015.
- Runhaar, Hens. "Tools for Integrating Environmental Objectives into Policy and Practice: What Works Where?" *Environmental Impact Assessment Review* 59 (July 2016): 1–9.
- Bakir, C. and Coban, K. (2019). "Evidence-Based Policymaking in Action: The Role of Organizational Policy Capacity in Monetary and Macroprudential Policy", *New Perspectives on Turkey* (Forthcoming)
- Bakir, C. (2015). "Bargaining with Multinationals: Why State Capacity Matters", *New Political Economy*, 20(1): 63-84.

PART II – CLASS PRESENTATIONS

Week X / Week XI / Week XII / Week XIII (December 6-8)

PAPERS DUE (December 13)

Note: Prof. Bakir gratefully acknowledges Michael Howlett's generous mentorship and support in designing this course.