Politics and Policy Making in International Relations

American University
School of International Service
Fall 2017 – SIS-808 001
Thursdays, 11:20AM-2:10PM
Room SIS 348

Contact Information:

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Learning Objectives

This course provides an introduction to the theoretical foundations of policy analysis as well as its use as a method of inquiry in the context of international affairs. Political dynamics shaping policy emergence, implementation, and evaluation are foregrounded. The course builds on analyses and in-depth discussions of theoretical readings and actual cases. Assessment is based on participation, attendance, a midterm examination, and an article-length manuscript submitted to a peer-reviewed, JCR-listed journal.

Learning Outcomes

(1) Students are familiar with central concepts of, and approaches to, policy analysis as a scholarly field.
(2) Students understand how policy interventions come about (or not), are implemented and changed.
(3) Students recognize the causes of and frames for 'successful' and 'unsuccessful' policy interventions.
(4) Students are able to identify opportunities for influencing policymaking and implementation.
(5) Students have improved their analytical and writing skills.
(6) Students understand the academic publishing process.

Course Material

The course uses one book, to be purchased by all students: Stone, Deborah (2011) *Policy Paradox: The Art of Political Decision Making* (3rd ed.). New York, NY: W.W. Norton. Please make sure that you are working with the correct edition. Additional weekly readings are posted on Blackboard (BB).

Assessment

1. ### Class participation: 20%

   It is essential that every student in the course make regular contributions to class discussions. Quality beats quantity. Contributions that include specific references to readings are usually the

most effective in moving the discussion forward. Feedback on individual performance may be obtained from the instructor from October onward. This grade component also includes individual contributions made in the context of co-authoring an article-length manuscript (see below).

2. Midterm exam: 20%

The midterm exam is a closed-book, in-class test with two sections. The first section consists of five knowledge questions testing core concepts (3 points each); responses are limited to 50 words each. Longer responses will be graded as missing. The second section consists of a short ad hoc essay in response to a specific policy scenario (5 points). Students have 30 minutes to complete the first section and 60 minutes to complete the second. Time allotments for these sections cannot be shuffled or swapped. There is a break of 15 minutes between sections.

3. Article-length manuscript submitted to a peer-reviewed journal: 55%

All students produce article-length manuscripts, each providing an analysis of a specific policy or set of policies. Analyses of policies that did not actually materialize are tricky, but are permissible nonetheless. Papers are <u>not</u> expected to reflect students' dissertation projects, although they may inform them. Co-authoring is encouraged, but not required. A maximum of two authors may work on the same text. In order to receive a full score for this grade component, manuscripts need to have been submitted to a peer-reviewed journal listed in the 2016 JCR collection. Depending on professional aspirations, students may target either peer-reviewed scholarly journals or more policy-oriented peer-reviewed outlets. The minimum manuscript length is 6,000 words.

- o Draft abstract (200-300 words) **5%**
- o Methodological reflection paper (500 words plus references) **5%**
- o Annotated bibliography or literature review (2,000 words) **10%**
- o Exposé of theoretical contribution/s (500 words plus references) **5%**
- o Exposé of empirical contribution/s (500 words plus references) **5%**
- o Note on three target journals, with preference order and rationale (500 words) **5%**
- o Full draft (6,000+ words, depending on target journal) plus abstract **10%**
- o 4-minute video summarizing project's focus, methodology, and main findings **5%**
- o Confirmation of submission **5%**
- o [co-authored manuscripts only] Note explaining individual contribution **mandatory**

4. Attendance: 5%

Presence/absence will be recorded five minutes after beginning of each class. Students attending less than 11 of 13 classes receive a score of 0 for this grade component, effectively reducing their grades by one algebraic sign. There are no exceptions from this rule. Students who cannot attend a specific class (e.g., illness, family emergency, religious holiday) are *discouraged* from informing the instructor of their absence unless they can produce an official medical or university excuse.

Annotations

The following annotations will be used for grading midterm essays and manuscript assignments:

Annotation	Meaning
A	Flawed **a**rgument
C	Lack of **c**larity
F	**F**actual error
G	**G**rammatical Error

H	Problematic **h**ypothesis
I	Unclear **i**llustration or figure
M	**M**ethodological problem
R	**R**epetition (word or content)
S	**S**tylistic or formal error
Sp	**Sp**elling error
St	Poor **st**ructure or flow
T	**T**erminological error
W	Problematic **w**ording
X (cross out)	Omit/delete

Course Policies:

- Electronic devices: This class prohibits the use of all electronic devices unless you require one as an accommodation for a disability or special needs. In these cases, you need to register with ASAC as soon as possible. Only ASAC-registered students receive such accommodations. When consulting a digital-format reading, you may open a tablet or laptop to consult the reading only. Always bring assigned readings, pencil or pen, and notepaper to class; studies show we retain and process information better when taking notes by hand. Non-compliance with this policy results in a lower class participation rating.
  If anyone's cell phone rings or vibrates during a class, this compels the owner of the phone to supply everyone in the class with an edible artifact (sweets preferred) during the following class. Repeated incidents will have a negative effect on the individual's class participation rating (and are also likely to result in common weight gain).
- Preparing and submitting written work: All written work should be submitted in Microsoft Word-compatible format files. Assignments must be uploaded to the assignment link on BB by the date and time that they are due. If you are unable to upload the assignment due to technical issues, you may e-mail a backup copy to me as an attachment. Do not e-mail your work to me unless there is a technical problem. Late assignments are not accepted. Make-up work will be allowed only if you have a medical or University excuse. If possible, let us discuss and agree on an acceptable make-up assignment prior to your absence.
- Page limits: I use short assignments for a reason: concision and precision of expression are essential skills for effective writing. Work that exceeds the limit is treated as late work and rejected.
- Format for assignments: Format them according to CMS (in-text citation, no footnotes or endnotes).
  ° Place the heading in the upper left corner. It should include your name, my name, the course title, and the date, single-spaced.
  ° Use 1.5 spacing for the main text.
  ° Use Times New Roman font, size 12.
  ° Use one-inch margins.
  ° Include a works cited section where necessary (this does not count in the one-page limit). A missing works cited section could, in the worst case, amount to plagiarism.
- Computer Crashes, Printer Problems, and Other Acts of God: Two words: back up. Back up all your work to a second location as you write – to a jump drive, the Cloud, or your hard drive, for example – because computer problems will not serve as an adequate excuse for late work. In general, computer problems only become disasters when work and printing are left to the last minute; avoid procrastination and avoid disasters.

University Policies

The information provided in this syllabus section concerns policies and procedures that apply to all courses at American University.

Plagiarism and the Academic Integrity Code:

American University takes academic dishonesty very seriously, and the University's Academic Integrity Code is strictly observed in this course. The code is available online at http://www.american.edu/academics/integrity/index.htm. Please take the time to read the document carefully, and be sure to ask if you have any questions, *either now or while you are working on an assignment*. As the code states,

> By enrolling at American University and then each semester when registering for classes, students acknowledge their commitment to the Code. As members of the academic community, students must become familiar with their rights and their responsibilities. In each course, they are responsible for knowing the requirements and restrictions regarding research and writing, examinations of whatever kind, collaborative work, the use of study aids, the appropriateness of assistance, and other issues. Students are responsible for learning the conventions of documentation and acknowledgment of sources. American University expects students to complete all examinations, tests, papers, creative projects, and assignments of any kind according to the highest ethical standards, as set forth either explicitly or implicitly in this Code or by the direction of instructors.

The Code also details specific violations of ethical conduct that relate to academic integrity. Assignments violating the code are automatically handed over to the relevant bodies in SIS for appropriate action. The Dean's standard policy for responding to academic dishonesty is failure of the course.

In all written work, you must properly cite all sources (1) directly quoted, (2) paraphrased, or (3) consulted in any fashion. Sources include all printed material, any ideas or words you gather from interview or survey subjects, and any ideas or words you acquire from the Internet. Proper citation for this course means using CMS (in-text citation, no footnotes or endnotes).

Please note that it is considered plagiarism to submit any assignment without properly citing sources and acknowledging intellectual debts. Also, you may not submit one piece of work for assignments in two (or more) different classes without formal permission from all relevant instructors.

Emergency Preparedness:

In the event of a declared emergency or pandemic, American University will implement a plan for meeting the needs of all members of the university community. Should the university be required to close for a period of time, I am committed to ensuring that all aspects of our educational programs will still be delivered. These may include altering and extending the duration of the traditional term schedule to complete essential instruction in the traditional format and/or use of distance instructional methods. Specific strategies will vary from class to class, depending on the format of the particular meeting and the timing of the emergency. I will communicate class-specific information to you via AU e-mail and Blackboard. You are responsible for checking your AU e-mail regularly and keeping themselves informed of emergencies. In the event of a declared pandemic or other emergency, refer to the AU Web site (www.prepared.american.edu) and the AU information line at (202) 885-1100.

I recommend that you **sign up to receive emergency text alerts at** www.prepared.american.edu**.** If the university closes, look for an email from me and check the announcements on our Blackboard site. If you don't hear from me, assume that we will stick to the most recent version of the semester schedule.

Incomplete Grades:

An "I" is a temporary final course grade assigned in response to an extenuating, documented situation. In order to receive this grade, you must qualify and you must complete a contract with the PhD program director and me. This contract outlines the work to be done, the completion date, and the default grade should the work go unfinished.

Students with Disabilities and/or Special Needs:

If you wish to receive accommodations for a disability, please notify me with a letter from the Academic Support and Access Center *(***ASAC***; located in Mary Graydon Center 243). As accommodations are not retroactive, timely notification at the beginning of the semester, if possible, is requested.*

Sharing of Course Content:

Students are not permitted to make visual or audio recordings, including live streaming, of classroom lectures or any class related content, using any type of recording devices (e.g., smart phone, computer, digital recorder, etc.) unless prior permission from me has been obtained, and there are no objections from any of the students in the class. If permission is granted, personal use and sharing of recordings and any electronic copies of course materials (e.g., PowerPoints, formulas, lecture notes and any classroom discussions online or otherwise) is limited to the personal use of students registered in the course and for educational purposes only, even after the end of the course. Exceptions will be made for students who present a signed Letter of Accommodation from the Academic Support and Access Center (ASAC; see http://www.american.edu/ocl/asac/Accommodations.cfm).

To supplement the classroom experience, lectures may be audio or video recorded by faculty and made available to students registered for this class. Faculty may record classroom lectures or discussions for pedagogical use, future student reference, or to meet the accommodation needs of students with a documented disability. These recordings are limited to personal use and may not be distributed (fileshare), sold, or posted on social media outlets without the written permission of faculty. Unauthorized downloading, file sharing, distribution of any part of a recorded lecture or course materials, or using information for purposes other than the student's own learning may be deemed a violation of ***American University's Student Conduct Code*** and subject to disciplinary action (see Student Conduct Code VI. Prohibited Conduct).

Harassment:

American University expressly prohibits any form of discriminatory harassment including sexual harassment, dating and domestic violence, sexual assault, and stalking. The university is an equal opportunity, affirmative action institution that operates in compliance with applicable laws and regulations, and does not discriminate on the basis of race, color, national origin, religion, sex (including pregnancy), age, sexual orientation, disability, marital status, personal appearance, gender identity and expression, family responsibilities, political affiliation, source of income, veteran status, an individual's genetic information or any other bases under federal or local laws in its programs and activities.

If you experience any of the above, you have the option of filing a report with the AU Department of Public Safety (202-885-2527) or the Office of the Dean of Students (dos@american.edu or 202-885-3300). Please keep in mind that all faculty and staff – with the exception of counselors in the Counseling Center, victim advocates in the Wellness Center, medical providers in the Student Health Center, and ordained clergy in the Kay Spiritual Life Center – who are aware of or witness this conduct are required to report this information to the university, regardless of the location of the incident. For more information, including a list of supportive resources on and off-campus, contact OASIS: The Office of Advocacy Services for Interpersonal and Sexual Violence (www.american.edu/sexualassault, oasis@american.edu or 202-885-7070), or the Office of the Dean of Student (www.american.edu/ocl/dos).

Campus Resources:

If you experience any difficulties in this course, please consult me as soon as possible. Information about additional resources that you can take advantage of is provided below:

- **Academic Support and Access Center:** *All students may take advantage of the Academic Support and Access Center for individual academic counseling, skills workshops, tutor referrals, supplemental instruction, and writing appointments.* For more information, call 202-885-3360, see american.edu/asac, or visit MGC 243.
- **The Writing Center:** The Writing Center is located on the first floor of the library and offers free, confidential consultations to assist you at any stage of the writing process. You can schedule a 45-min session by accessing their appointment system from their homepage (http://www.american.edu/cas/writing/) or calling 202-885-2991.
- **The Counseling Center** is located in Mary Graydon Center 214 and offers confidential assistance and referrals with regard to personal matters ranging from suicidal thoughts to roommate troubles. Visit http://www.american.mywconline.net to make an appointment.
- **Research librarians** can help you to find, evaluate, and cite research material. Visit the Research Assistance Desk on the first floor of the library for in-person, one-on-one help, or call 202-885-3238, or see "Ask a Librarian" on the American University Library's website to chat with a librarian.

Class Schedule

1. Overview (August 31)
- Personal introductions
- Introductory lecture
- Syllabus review
- "Proximity to policy" exercise
- Overview and discussion of key concepts listed in: John, Peter (2012). *Analyzing Public Policy*. London and New York: Routledge, pp. 184-187 (BB).
- Division of labor for preparation of September 14 class

No class on September 7
(Professor Esser in Bradford, UK for the annual Development Studies Association conference)

2. Introduction to Policy Analysis (September 14)
- Read and prepare assigned sections in: Stone, Deborah (2011). *Policy Paradox: The Art of Political Decision Making* (3rd ed.). New York, NY: W.W. Norton.

- Present the two or three sections assigned to you. Presentations must not last more than five minutes per section. They are to be delivered without a script. Personal notes are allowed, but no PowerPoint, Prezi (etc.) slides. Hard copies of one-page handouts are required for each section assigned.
- Also read: Walt, Gill (1994) "Power and the policy process" and "Setting the policy agenda: who influences what?" In his: *Health Policy: An Introduction to Process and Power*. London: Zed Books, pp. 35-72 (BB).
- John, Peter (2011) *Making Policy Work*. London and New York: Routledge, pp. 154-160 (BB).

3. Historical Positions on Policy Analysis (September 21)
- Wildavsky, Aaron (1973) "If planning is everything, maybe it's nothing." *Policy Sciences* 4, pp. 127-153 (BB).
- Tversky, Amos and Kahneman, Daniel (1974) "Judgment Under Uncertainty: Heuristics and Biases." *Science* 185, pp. 1124-1131 (BB).
- Peterson, Paul E. (1981) "The Three Policy Arenas." In his: *City Limits*. Chicago, IL: The University of Chicago Press, pp. 41-65 (BB).
- Horowitz, Donald L. (1989) "Is there a third-world policy process?" *Policy Sciences* 22, pp. 197-212 (BB).

4. Positivism in Policy Analysis (September 28)
- Amadae, Sonja M. (2003) "Consolidating Rational Choice Liberalism 1970-2000." In her: *Rationalizing Capitalist Democracy: The Cold War Origins of Rational Choice Liberalism*, Chicago, IL: Chicago University Press, pp. 251-290 (BB).
- John, Peter (2012) *Analyzing Public Policy*. London and New York: Routledge, pp. 100-121 (BB).
  Draft abstract (200-300 words) due by 5PM on this day.

5. Constructivism in Policy Analysis (October 5)
- Yanow, Dvora (1999) "Underlying Assumptions of an Interpretive Approach: The Importance of Local Knowledge." In her: *Conducting Interpretive Policy Analysis*. Thousand Oaks, CA: SAGE, pp. 1-25 (BB).
- Schatz, Edward (2009) "What Kind(s) of Ethnography Does Political Science Need?" In his (ed.) *Political Ethnography: What Immersion Contributes to the Study of Power*. Chicago, IL: University of Chicago Press, pp. 303-318 (BB).
- Esser, Daniel and Williams, Benjamin (2014) "Tracing Poverty and Inequality in International Development Discourses: An Algorithmic and Visual Analysis of Agencies' Annual Reports and Occasional White Papers, 1978-2010." *Journal of Social Policy* 43, pp. 173-200 (BB).
  Methodological reflection paper (500 words plus references) due by 10AM on this day.

6. Midterm Examination (October 12)
Exam will be proctored; Professor Esser at Copenhagen Business School.

7. Behavioralism in Policy Analysis (October 19)
- Hardin, Curtis D. and Banaji, Mahzarin R. (2013) "The Nature of Implicit Prejudice." In: Shafir, E. (ed.) *The Behavioral Foundations of Public Policy*. Princeton, NJ: Princeton University Press, pp. 13-31 (BB).

- Sunstein, Cass R. (2013) "If Misfearing is the Problem, Is Cost-Benefit Analysis the Solution." In: Shafir (op.cit.), pp. 231-242 (BB).
  Annotated bibliography or literature review (2,000 words) due by 10AM on this day.

8. Midterm Exam Review and Theory Workshop (October 26)
- Discussion of both sections of the midterm exam, with anonymized examples.
- Informal presentations of exposés of theoretical contribution/s, followed by guided discussion.
- No readings for this class; students are strongly encouraged to continue working on their projects.
  Exposé of theoretical contribution/s (500 words plus references) due by 10AM on this day.

9. Historical Institutionalism in Policy Analysis (November 2)
- Dunleavy, Colleen A. (1992) "Political structure, state policy, and industrial change: early railroad policy in the United States and Russia." In: Steinmo, Sven, Thelen, Kathleen, and Longstreth, Frank (eds.) *Structuring Politics: Historical Institutionalism in Comparative Analysis*. New York, NY: Cambridge University Press, pp. 114-154 (BB).
- Mabee, Bryan (2011) "Historical Institutionalism and Foreign Policy Analysis: The Origins of the National Security Council Revisited." *Foreign Policy Analysis* 7, pp. 27-44 (BB).
- Kratochwil, Friedrich (2011) Making sense of 'international practices.'" In: Adler, Emanuel and Pouliot, Vincent (eds.) *International Practices*. New York, NY: Cambridge University Press, pp. 36-60 (BB).
  Exposé of empirical contribution/s (500 words plus references) due by 10AM on this day.

10. Global Policy Diffusion (November 9)
- Dobbin, Frank, Simmons, Beth, and Garrett, Geoffrey (2007) "The Global Diffusion of Public Policies: Social Construction, Coercion, Competition, or Learning?" *Annual Review of Sociology* 33, pp. 449-72 (BB).
- Rap, Edwin (2006) "The success of a policy model: Irrigation management transfer in Mexico." *Journal of Development Studies* 42, pp. 1301-1324 (BB).
- Smith, Michael Peter, Koikkalainen, Saara, and Jáuregui Casanueva, Leticia (2014) "The Oligarchic Diffusion of Public Policy: Deploying the Mexican 'Magic Bullet' to Combat Poverty in New York City." *Urban Affairs Review* 50, pp. 3-33 (BB).
  Note on three target journals with preference order and rationale for each (500 words) due by 10AM on this day.

11. Writing Workshop (November 16)
- Project-based troubleshooting in small groups, with individual consultation and brief group discussion.
- No readings for this class; students are strongly encouraged to continue working on their projects.

No class on November 7 (Thanksgiving Break)

12. Case: Global Public Health and Reproductive Rights (November 30)
- Elizabeth H. Boyle, Kim, Minzee, and Longhofer, Wesley (2015) "Abortion Liberalization in World Society, 1960-2009." *American Journal of* Sociology 121, pp. 882-913 (BB).
- Robinson, Rachel S. (2012) "Negotiating Development Prescriptions: The Case of Population Policy in Nigeria." *Population Research and Policy Review* 31, pp. 267-296 (BB).

- Esser, Daniel E. (2014) "Elusive Accountabilities in the HIV Scale-up: 'Ownership' as a Functional Tautology." *Global Public Health* 9, pp. 43-56 (BB).
  Full draft (6,000+ words, depending on target journal) plus abstract due by 10AM on this day.

13. Research Presentations, Lessons Learned, and Course Evaluation (December 7)
- Collective review and discussion of project videos.
  4-minute video summarizing project's focus, methodology, and findings due by 10AM on this day.

Friday, December 8
- Confirmation of submission due by 8PM on this day.
- [co-authored manuscripts only] Note explaining individual contributions due by 10PM on this day.

Writing Checklist (courtesy of Professor David Pike, CAS)

A. SPELLING AND WORD CHOICE—common mistakes and how to avoid them:
- *affect/effect*: The light <u>affects</u> his eyes; They <u>effected</u> a clever settlement
- *accept/except*: He could not <u>accept</u> the consequences; <u>except</u> for us
- *two/too/to*: <u>two</u> heads; <u>too</u> far; <u>to</u> the limit
- *there/their/they're*: <u>There is</u> only one explanation for <u>their</u> behavior: <u>they're crazy</u>
- *where/were*: <u>Where</u> <u>were</u> you?
- *loose/lose*: <u>loose</u>-fitting; nothing to <u>lose</u>
- *lead/led*: She <u>leads</u> now where once you <u>led</u>
- *whose/who's*: <u>Whose</u> fault is it? <u>Who's</u> there?
- *its/it's*: <u>It's</u> not too late to save <u>its</u> life

B. SYNTAX and DICTION
- *Sentence fragments*: does each of your sentences have a subject and a verb?
- *Run-on sentences*: can you parse your sentences: do all of the parts fit together grammatically?
- *Subject/verb agreement*: is the subject singular or plural? "*One* of them *is* right but the *others are* wrong"
- *Punctuation*: are your commas, semicolons, colons, and full stops necessary and in the right place?
- *Word order*: are the words in an order that actually says what you want to say?
- *Dangling modifiers*: avoid sentences like this: "Running from the scene of the crime, the police arrested the suspect."

C. ARGUMENT and STYLE
- *Thesis/topic sentence*: do you know what your argument is? Do you introduce it early on?
- *Discussion*: do you analyze each passage you cite? Do you have at least one line of discussion for every line cited?
- *Adjectives (concrete vs. abstract)*: do your adjectives impart useful information that helps visualize or imagine the nouns they modify (tall, yellow, detailed), or do they reflect value judgments and/or undefinable qualities (great, bad, laudable, horrible)?

D. REFERENCES and CMS
- *Referencing and documentation*: have you given page references and bibliographical information for any book, article, Internet source etc. you have cited? Have you properly documented any idea, phrasing, or passage that is borrowed from another source? Are you following CMS throughout?