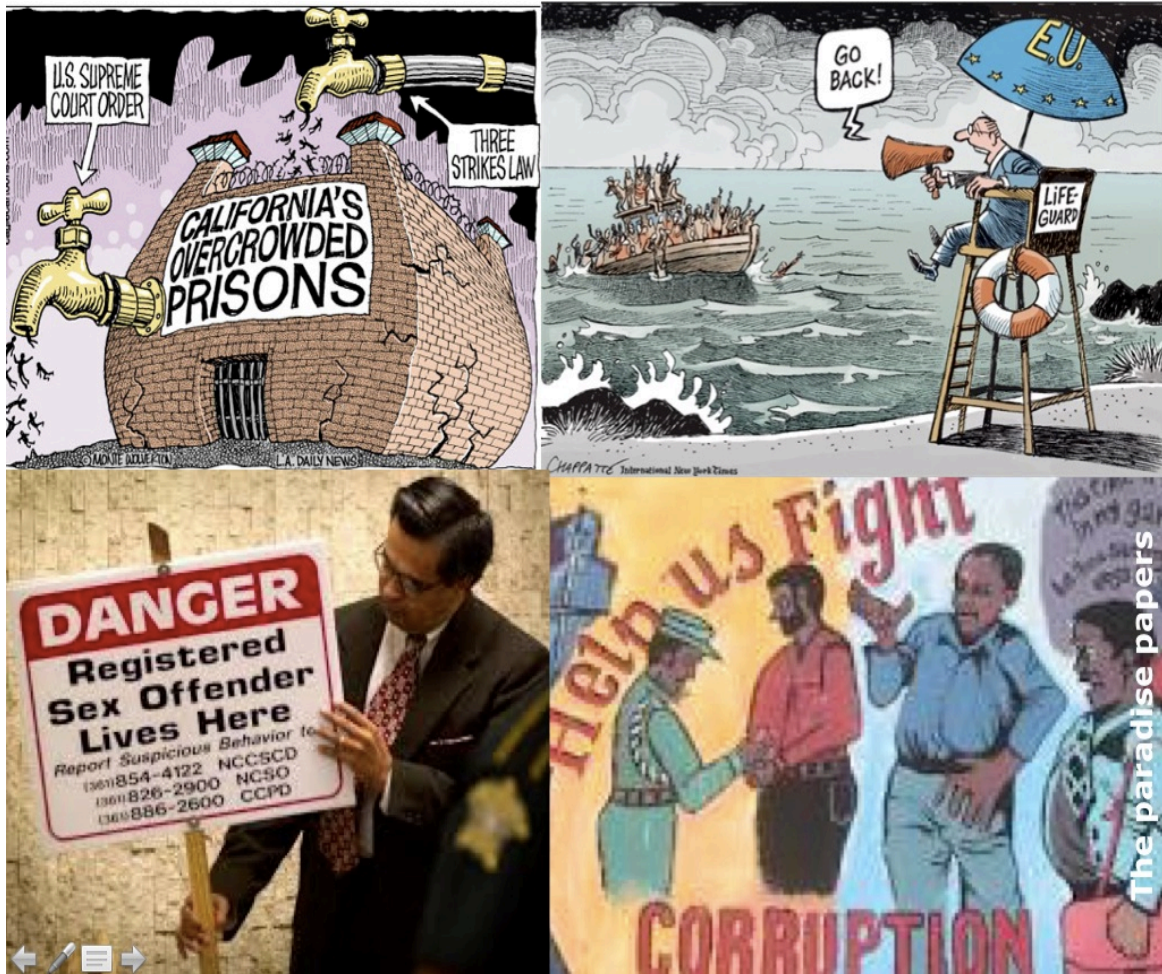# Public Policy Evaluation & Analysis

Course manual academic year 2017-2018
University College Maastricht
Course SSC3011

Course Coordinator & tutor: Renée Speijcken©
Faculty of Humanities and Sciences
Maastricht Graduate School of Governance/UNU-Merit

Email: r.speijcken@maastrichtuniversity.nl

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1. Introduction

1.1.   Course Outline

This course provides students with an introduction to the study of public policy and the professional practice of policy analysis and evaluation. Public policy analysis [including evaluation] has been defined in many different ways. From "studying the causes and consequences of policy decisions" (Kraft and Furlong 2010:7) to a more elaborated approach that specifies it as an "applied social science discipline" that constitutes "a process of multidisciplinary inquiry aiming at the creation, critical assessment and communication of policy-relevant information" (Dunn: 1981; 2012:2). Other authors highlight the professional practice of policy analysis by defining it as "client oriented advice relevant to public decisions and informal social values" (Weimer and Vining 2011:24). Then there are authors that stress politics as indispensable for framing and analyzing public policy (Stone 2002) and those that try to bridge worlds by saying that "doing policy analysis means bringing scientific knowledge [and scientific methods] to the political process" (Kraft and Furlong 2010:99).

The language used to discuss public policy can be confusing as policy makers such as legislators or presidents, or other actors like journalists, commentators and even policy analysts and evaluators often speak without much clarity about intentions (purpose of government action); goals (the stated ends to be achieved); plans or proposals (the means for achieving the goals); programs (the authorized means for pursuing goals) and decisions or choices (the specific actions that are taken to set goals, develop plans and implement programs (Jones 1984, as stated in Kraft and Furlong 2010:5).

A unifying factor in these definitions and discussions however is the fact that it is about '*public policy';* a course of government action or inaction in response to '*public problems'* such as insufficient access to health care or education, environmental degradation, threats to workplace safety, corruption, overcrowded highways, air pollution etcetera (Kraft and Furlong 2010:5,6). These problems and public demands for action can manifest from local to national or global levels. Public policy is both about the formal statements of policy goals and means found in laws and policy documents of government as well as about actual behavior of implementing agencies and officials (ibid). They reflect society's most important values, as well as the conflicts between them. This means that policymakers can have a distinctive influence on which of these will prevail (Easton 1965). For instance, should a government raise auto fuel efficiency standards to reduce the price of emissions of greenhouse gases and decrease dependency on oil imports, even if doing so raises the cost of buying a car? Or should these decisions be left to the marketplace and individual choice? Should the government respect the right of women to choose an abortion or should they restrict that choice and promote the right of the unborn fetus? (Kraft and Furlong 2010:6).

Because public policies often deal with tough questions like these, reflecting conflicts over fundamental human values, the final policy decisions taken, based on *sound policy analysis and evaluation* and the weighing, crafting and prescribing of policy options, are going to affect people's lives (Kraft and Furlong 2010). Therefore this course is designed in such a way that it fosters critical thinking and understanding about public policy and possible alternative courses of action by deliberating and analyzing the key concepts, terms, models and approaches of policy analysis and evaluation and practicing some of its basic skills.

1.2 Objectives:

The main learning objectives of this course are:
1. To develop a critical analytical approach to public policy analysis and evaluation;
2. To acquaint students with the primary components of the public policy process
3. To provide students with a basic understanding of the key concepts, terms, approaches, perspectives and methods in public policy analysis and evaluation;
4. To provide students with an understanding about the role of academic 'evidence' in the different stages of the policy process;
5. To provide students with an understanding of the importance of ethics, accountability and leadership in policy making, analysis & evaluation;
6. To provide students with the practical experience and skills of writing a policy memorandum (mid term exam) and an evaluative policy paper (final exam) and how to communicate their story effectively (mid term team role play);
7. To provide students with the practical experience and skills of working in a policy team, present & defend their case to an audience, as well as to receive and give constructive feedback.

1.3. Teaching method

The main teaching method used in this course is Problem Based Learning. Within this context it combines problem-cases with tutorial groups, small group presentations, group role-play, individual assignments and lectures. The course is constructed around six cases that are supported by lectures and a selection of required and optional academic and policy-oriented literature. In the pre-discussion of each tutorial the case is explored, concepts are clarified and learning objectives are defined and agreed upon by the students. Between the tutorials students study the literature individually and apply it to the case. In each post discussion of the tutorial group the studied literature is used and applied to the case by the group. There are two cases in which tutorial groups split up in three sub-groups that work on the case over three separate tutorial meetings. Respectively these are case three that serves as a mock case for the midterm, and case six that serves as a practice case for the final evaluative paper.

1.4. Examination and Grading

1.4.1 Examination

Examination consists of two individual written assignments and a team briefing presentation.
- Mid Term Exam part 1: Policy memorandum. The memo is due on _**February 23th 2018, 15.00 hrs.**_
- Mid Term Exam part 2: Briefing exercise/team role play takes place _**during the tutorial groups.**_
- Final Exam: Policy Paper. The final paper is due on _**March 30th 2018 at 12.00 noon.**_

Papers will need to be submitted electronically **via Safe Assignments** in ELEUM and on paper. In case of system failure or maintenance, they can be submitted electronically to the tutor or handed in at UCM student affairs, within 30 minutes of the original deadline.

1.4.2. Grading

The <u>final grade</u> for this course is based on four components:
- Policy Memorandum (Mid Term part 1): 30 percent
- Briefing Exercise /Team role play (Mid Term part 2): 20 percent
- Final Policy Paper (Final Exam): 40 percent
- Quality of Participation in lectures and tutorials & Attendance: 10 percent

Attendance is expected to be 100%. As lectures provide essential information for the pre-discussion of the cases, your attendance is expected here as well. If this, for a valid reason, is not possible, you are allowed to miss two tutorials and one lecture. However, this needs to be communicated by email with the tutor at least three days before the date. Students who missed three tutorials and informed the tutor, will only receive an overall grade and credits for the course until they have successfully completed the additional assignment. The additional assignment can be a policy memorandum or a plan or process evaluation of a specific policy intervention and is to be decided upon by the tutor/course coordinator.

The policy <u>memo and the final evaluative policy paper</u> will be assessed and graded on the basis of:
1. *Formal requirements*. This includes requirements on the completeness and comprehensibility of the text, correct use of language, the presence of an easily discernible structure of the paper and correct usage of sources. This will make up for 25% of your grade.
2. *Understanding of the topic.* This includes the correct understanding of actors, relationships and context, as well as a good grasp of the policy and or evaluation process. Your performance here amounts to 35 % of your grade.
3. *Quality of your argumentation.* The most important part of the assessment is based on the inherent logic of your argument and the skillfulness of its presentation. It is not only about having the facts right, they have to be connected in a way that logically leads to your conclusion. This counts as 40% of your grade for the paper.

With regard to the team role-play briefing, all members of the team receive the same grade. The following elements are taken into account:
1. Whether the presentation is well prepared regarding content, format, style and creativity;
2. Whether the team engages the Client Committee members, raises questions and present the content with substantial knowledge and clarity;
3. Whether the rest of the group that watches the role play, takes their role serious as evaluators of both PA and CC teams.

Finally, please work in an ethical and responsible way and make sure that all sources in your paper (both directly quoted and used indirectly) are referenced in the text and in the bibliography. Fraud and plagiarism are not tolerated at Maastricht University and consequences can be severe (see Academic Rules & Regulations, Chapter 4.2.. Section 5 of the UCM Student Handbook). Your papers are subject to automatic plagiarism checks when handed in and are manually checked by the grader of your paper.

1.4.3. The Deliverables

There are four main deliverables that are expected from you in this course. Active participation in the tutorials and lectures, the policy memorandum, that is supposed to demonstrate your ability to integrate the aspects of policy analysis that are covered in the first half of the course; a team role play in the form of a client briefing on the basis of that memorandum; and a final evaluative policy

paper that is supposed to demonstrate your understanding of the basic set up of an evaluative study. Below you find some details on each of them. Further information will be posted on ELEUM.

Policy Memorandum (individual exercise):

You will deliver one short policy memorandum on a given topic in which you integrate the knowledge about policy analysis up to now (problem structuring, choosing evaluative criteria, presenting policy options and benchmark them with evaluative criteria, present preferred option) The memo should consist of *maximum 1200 words* in 1.5 line spacing (excluding references & annexes). One half of the class works on topic A, the rest works on topic B. This makes it possible to use these two topics for the team briefing exercise as well.

A policy memo is a brief well-structured written narrative, understandable to non-specialists and used in public non-profit and business organizations. Writing policy memoranda provide an excellent opportunity to practice your analytical writing skills. Policy memo's take different shapes depending on the organization templates, preferences etcetera. The topics for this assignment, as well as an example memo, will be posted in ELEUM.

Briefing exercise (team presentation):

The briefing exercise will take place on the basis of the written memoranda. It will have the form of a role play between two teams. One team represents the policy analysts (PA) presenting the memo A results; the other team represents the client committee, critically and constructively questioning what is presented (CC). Class will be divided in four teams each consisting of three persons. There are four role plays scheduled in which each time two teams, one in the role of PAs and on in the role of the CC, engage with each other for 15 minutes. In these 15 minutes the PA team is responsible for the process and has to present the key issues to be addressed and engage and make sure to get critical comments from the CC team. It is the CC team's role to listen and pose critical though constructive comments and/or suggestions in the process. The rest of the group evaluates the roles of both teams in action. In the first hour all four role plays take place. The second hour we discuss and evaluate each of the four role plays. Teams and schedule for the role plays will be announced in class. The (still ungraded) memo's need to be available to your tutorial group, so they can be used by both PA and CC teams to prepare the role plays.

The briefing exercise simulates the type of oral report you are likely to be called upon to make while you are working on a major policy analysis project. It allows your team to explain important concepts in public policy analysis in your own words, related to a specific subject and practice your presentation, communication and in some cases, negotiation skills. Elements of an oral briefing typically include the following aspects: opening & greeting; background of the briefing; major findings of the analysis (up to that moment); approach & methods; data used for analysis; recommendation (if relevant in this stage); questions for participants; closing.

Final 'Evaluative Policy Paper' (individual exercise):

Each student will write an 'evaluative policy paper' on a topic of your choice, according to a certain format in which the main elements of the course are integrated. The paper consists of *maximum 2200 words* in 1.5 line spacing, excluding references, annexes and title page. Examples of policy papers and ideas for topics will be posted on ELEUM. Please make sure to deliver the final paper in word-format which allows for easier digital assessment and feedback.

1.5   Course Schedule: key content, cases and lectures per week

Table 1 provides the general schedule for the course that runs from February 5th (week 6) until March 30th (week 13) 2018. Please check ELEUM as final dates and times of tutorials and lectures will be announced in January.

Table 1. Provisional Course Schedule

Week	Date	Time	Type of Activity	Content of activity (details below)
6		Two hours	*Lecture 1* *Renée Speijcken*	*An Introduction to Public Policy Analysis & Evaluation & Course Overview*
		first hour second hour	Tutorial groups	-Introduction & Practicalities -Pre-discussion C 1 '*Public Policy & Public Policy Analysis & Evaluation?*'
		first hour second hour	Tutorial groups	-Post-discussion C 1 -Pre-discussion C 2 '*Fighting Crime, the case of emptier prisons*'
7				Carnival break
8		Two hours	*Lecture 2* *Renée Speijcken*	*Steps in the Policy Analysis Process: problem structuring, evaluative criteria & policy alternatives.* **Also a note on the policy memo's (mid-term exam).**
		first hour second hour	Tutorial groups	-Post-discussion on C 2 -Pre-discussion in 3 subgroups on C 3: '*Policy Alternatives for European Refugee Policies*'
		first hour & Second hour	Tutorial groups	- Sub groups discuss & prepare presentations on C3
9		Two hours	*Lecture 3* *Renée Speijcken*	*A practitioners experience: Evaluating policy in practice*
		first hour second hour	Tutorial groups	- Presentations & post-discussion on C 3 - Lessons from C3 for your policy memo's
		first hour second hour	Tutorial groups	- Pre-discussion on C 4 '*Beyond efficiency: CB or CE?* - Mid term role play teams & set up (team arrangements)
	23-2			**Mid Term Exam part 1: Deadline Policy Memorandum: Friday 23ᵗʰ February 15.00 hrs**
10		Two hours	*Lecture 4* *Eli Stoykova (UNU-Merit /MGSoG)*	*Ex-ante policy analysis: why, when & how to use Cost Benefit and Cost Effectiveness Analysis?*
		first hour second hour	Tutorial groups	-Post-discussion C4: *Beyond efficiency: CB or CE?* -Pre-discussion on C 5 'The *Paradise Papers: a call for ethics, accountability & leadership in PPA&E*'
		first hour second hour		- Post-discussion on C 5 - Prep in teams for the mid-term role play
11		Two hours	*Lecture 5* *Renée Speijcken*	*Policy Evaluation Research: Plan & Process Evaluation (crucial for your final paper)*
		first hour second hour		**Mid Term Exam part 2:** **Briefing Role play (team presentations in tutorial groups)**
		first hour second hour	Tutorial groups	- Pre-discussion on C 6 '*Is registration of sex offenders effective in decreasing recidivism? A plan evaluation.*
12		Two hours	*Lecture 6 Marianne van Ooyen*	*Outcome Evaluation: two approaches & sharing evaluation experiences from practice*
		first hour second hour	Tutorial groups	- Plenary discussion of readings for C6 - Subgroups discuss & prepare presentations on C6
		first hour second hour	Tutorial groups	- Presentations & post-discussion on C 6 - Information, examples and Q&A on final papers
13				**Individual preparation for final evaluative paper**
	30-3			**Final Exam: 'policy paper' deadline March 30ᵗʰ 12.00 noon**

1.6. Communication

Please check ELEUM on a regular base as any changes or additional information will be communicated here. For other issues related to the course, please contact me in-when relevant for everybody- or after class, via email or meet me in my office.

My contact details are:

        Renée Speijcken

        Maastricht Graduate School of Governance/ UNU-Merit

        Visiting address: Boschstraat 24, 6211 AX Maastricht, room 1.04

        E-mail: r.speijcken@maastrichtuniversity.nl

2. Cases and Literature

This section presents the six cases that will guide the tutorial group meetings. For each case there is a list of required and in some cases optional readings mentioned after the case description. The required readings relate to the case, the lecture and the key area of study for a particular week. The optional readings provide further reading or viewing materials in the specific area. Next to this you are encouraged to find additional resources yourself, particularly in those cases where there are presentations to be given. You can look for additional literature for instance in online academic journals available via UM library, newspapers, and evaluations available online. Also check some of the resources and depositories of evaluation literature that are mentioned in section 3.

All required and recommended readings are available either in the e-Reader (e-R), UM Library (UM-L) or as Online Sources (web link mentioned). The content of the e-reader can also be found under 'course material' & additional references on ELEUM.

Case Structure & Learning goals

The structure of the course is such that the learning objectives (page 4) are addressed in an iterative and holistic way, meaning that gaining insight, perspective, knowledge, skills and competencies is not a linear process (only), but a dynamic one in which insight, knowledge and skills are deepened and practiced through repetition:

Week 6	Learning goal 1 & 2
Week 7	Carnival break
Week 8	Learning goal 1, 2 & 3
Week 9	Learning goal 3, 4 & 6
Week 10	Learning goal 3, 4, 5, 6 & 7
Week 11	Learning goal 3, 4, 5, 6 & 7
Week 12	Learning goal 4, 5, 6 & 7 (integration)
Week 13	Integration all learning goals, with an emphasis on 6

Case 1   Public Policy making, Analysis & Evaluation

DILBERT: © Scott Adams/Dist. by United Feature Syndicate, Inc.

Valerie, Katarina and Carlos are having coffee at a café in Maastricht. Valerie works as a secretary at the International Service Desk of Maastricht municipality. Katarina studies physiotherapy in Heerlen and Carlos is a student at the University College in Maastricht. They know each other from squash and became good friends. When enjoying their coffees, Valerie scrolls through some local newspapers, and suddenly starts laughing and nodding positively when she reads the above cartoon.

"Hey Carlos, have you seen this cartoon, the one from Dilbert? Take a look at it! Isn't that related to that course that you were telling me about, to which you subscribed? 'Policy Analysis and something…'?" Valerie asked. "We were discussing it last time when you told me it might also be relevant for my work at the municipality! You told me that you signed up for that course because you are interested to work for the government in your country, remember?"

"You are right", says Katarina…., "I remember that as well! "Carlos, you have to explain to us what all of this is actually about and why you think it is interesting and important! It is beyond me, like most of policy and politics! It is either boring or I just cannot make any sense of these decisions taken by government, the type of instruments they use, let alone that I understand their arguments! Most of the time it is about us, simple maybe uninformed but at least opinionated citizens….. But, when are we actually engaged in the policymaking process? And on top of that, we pay for all of this, but in my opinion most of the time, it is not us, but them who get better off. Isn't it all a pretty exclusive game of a bunch of grey male experts? Am sorry that I am being this blunt but I really ask myself why should I bother?!"

"Well", says Valerie, "maybe that is a bit too negative Katarina, after all their decisions do affect our lives! So Carlos, as you made me curious when saying it might be relevant to me too, …… tell us, how does it work, where do you start to make sense of this blurry process of policy making? And what is exactly the subject of that course that you are taking? As you said it is about policy analysis and evaluation? I would certainly be interested to know more about when and how I could best influence my mayor, if I want to change some of his policies and decisions even if it is only about the way foreigners in Maastricht are treated!"

"In any case, says Katarina, "you have to promise us that when you get in there, I mean, when you get to work for your government that you at least talk common language, you know? All this technical and political 'blah blah blah' is not for me. I need to know what it means for me, how my life is going to be affected …. So you make sure you communicate and explain 'public policy for dummies' ok!?

Required Readings:
- Kraft M.E. and Furlong S.R (2013) 'Public Policy, politics, analysis and alternatives': Chapter 3 Understanding public policy making (e-R)
- Kraft M.E. and Furlong S.R (2013) 'Public Policy, politics, analysis and alternatives': Chapter 4 Policy Analysis, an Introduction (e-R)
- Weiss, C (1999) '*The Interface between Evaluation and Public Policy*', *Evaluation* 1999; 5; full article (e-R)
- Walters L.C., Aydelotte J. and Miller J. (2000) Putting More Public in Policy Analysis, *Public Administration Review* Vol. 60, No. 4, pp. 349-359 (e-R)
- Ingram H and Schneider A.L. (2006) 'Policy Analysis for Democracy' in *The Oxford Handbook of Public Policy*, Oxford University Press (e-R)
- Ostrom E. (2002)'Policy Analysis in the Future of Good Societies', in *The Good Society*, Volume 11, Number 1, 2002, pp. 42-48, Penn State University (e-R)
- Watch video on Participatory decision making & budgeting in Brazil: http://www.youtube.com/watch?v=UHxVj4IyWFo&feature=relmfu

Case 2   Fighting Crime: the case for emptier prisons
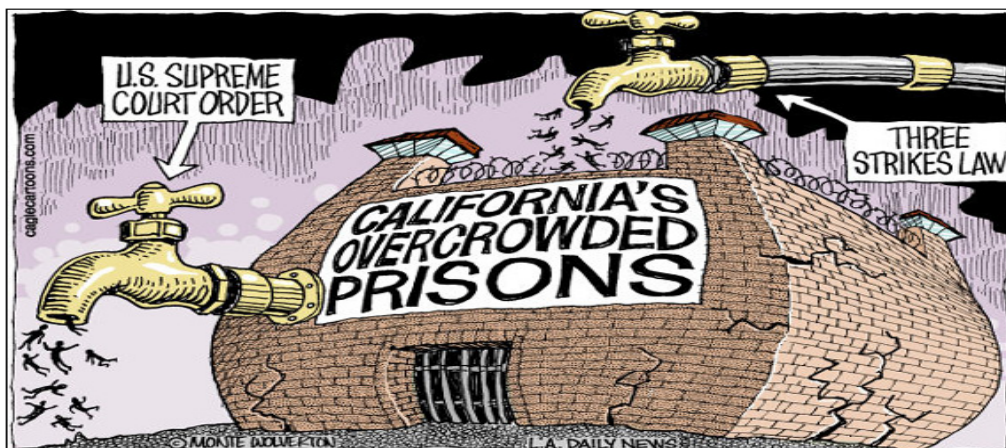
Working as a policy analyst for the government of the State of California you are requested to come up with a policy analysis and advice on this issue, within the next 3 days. As a starting point, you are provided with the information below.

America now imprisons more people than Russia. According to Walmsley (2005, cited in Rushefsky 2008, 260) 714 out of every 100.000 Americans are behind bars. And although blacks comprise only 13% of the population, they account for 40.7% of the country's 2.1 million inmates (Harrison and Beck 2005). That is an increase of incarceration of 130% from 1980 to 1990 and 60% from 1990 to 2004 (Walmsley 2005).

It is true that the United States has more crime than other countries, and that black Americans commit too much of it. But these two factors do not explain everything. Black Americans commit about the same share of violent crime as they did in 1976, and the total crime rate has actually fallen since 1973. Total violent crimes and total victimizations in 2004 were lower than in 1973. The total number of violent crimes in 2004 was only about 45% of the 1973 number. Since the population of the United States increased in the same period, the crime rate has declined even faster (Rushefsky 2008, 260). Nevertheless, over this period, the number of inmates has tripled and the proportion of black prisoners has increased.

Why, then do Americans continue to vote for those who vow to lock yet more people away? One reason is that fear of crime does not diminish even when the incidence of crime falls. If one selects different base years, the violent crime rate has increased (14.3% from 1973 to 1981) and increased again (6.7% from 1982 to 1993). But this would be misleading for present policy analysis, in that the overall violent crime rate actually dropped 54% (1973-2004) (Rushefsky 2008, 253, citing US Department of Justice Statistics [BJS] 2005). The rate may have dropped from the deterrent effect of an increase in the rate of arrests compares to total victimizations and reported crimes (Rushefsky 2008, 252). Regardless of the explanation, the overall rate has dropped significantly. Law abiding people naturally want murderers, rapists and muggers caged. But this does not explain why the prison population has risen almost ten times faster than the rate of violent crime.

It is not crime that has changed but punishment. A study of why the prison population has grown attributed about a third of the growth to demographics, the increase in violent crime, more arrests and longer sentences (cited in *The Economist* 2009a71). The other two-thirds came from jailing people for offenses that would not have required prison sentences in the past. In particular, the war

on drugs has crammed America's prisons with nonviolent petty criminals. The US government spends $40 billion a year trying to eliminate the supply of drugs. Each year, all levels of American government together arrest 1.5 million drug offenders, of whom 500.000 are incarcerated. Tougher drug laws are the main reason why one in five black men will spend time in jail (*The Economist* 2009b, 15). In all, the number of people imprisoned for drug offenses tripled between 1986 and 1991, and has continued to grow since; in Washington state, the number of prisoners in for drug crimes has risen almost 1000% since 1980. California has 170.000 inmates of whom about 20% are serving time for drug-related crimes (*The Economist* 2009a, 71). One in one hundred Americans is in jail; one in thirty-one is in prison, on parole or probation. Michigan spends 22% of its general budget on corrections. The program is growing faster than any other except Medicare (which is the fastest growing component of overall state and local spending) (*The Economist* 2009c, 36). Rushefsky asserts that "it would be harder to think of an areas of US social policy that has failed more completely than the war on drugs"(2008, 280).

As a result of tough laws incarcerating drug offenders, violent criminals are a decreasing share of the prison population. In 1991, according to the Cato Institute, only one out of five drug offenders in state prisons, and one out of three in federal ones, had a violent history. And the increasing number of drug offenders in prison comes at a time when the use of all illegal drugs is lower than it has been for years, although it remains high in inner cities.

Black Americans have been disproportionately hit by the war on drugs because they tend to commit the wrong kind of drug crimes. For example, under federal law possession of five grams of cocaine powder is a misdemeanor that carries a maximum prison sentence of one year. Possession of five grams of crack cocaine, though, is a felony that carries a mandatory five-year sentence. Blacks are much more likely to smoke crack. In percentage of estimated use, blacks use more than three times the percentage of crack than whites (1.6% to 0.5%) Rushefsky 2008, 283). The result is a large increase in the number of blacks in prison.

Indeterminate sentencing gives discretion to parole boards, which can reward good behavior and help with overcrowding by reducing inmates' prison time. In 1976, California switched to determinate sentencing. This reflects a philosophy of deterrence and means that prison time is fixed, regardless good behavior (*The Economist* 2009d, 28). Such determinate or mandatory minimum sentences, at both federal and state level, are filling up prisons faster than new ones can be built; more than a dozen states also have three-strikes rules that require long prison stretches for a third felony. The 1995 California law (passed by voter referendum) is the largest and toughest mandatory sentencing law in the United States. Since crime rates were falling before the law was passed its effects on crime rates is debatable. The law does lengthen the average prison sentence and raise the average age of inmates, costing the state an additional $500 million a year (*The Economist* 2009e, 38). California has passed around one thousand laws mandating tougher sentencing and spends $49,000 per prisoner each year. Mandatory sentences are crude policy tools. In particular, they do not distinguish between levels of seriousness of different types of crime; the federal minimum sentence for possession of a small amount of LSD is ten years, much more than for kidnapping rape or attempted murder. California has the worst recidivism rate in the nation (70% compared to the national average of 40%) (*The Economist* 2009d, 28).

The basic aim of the war on drugs has been to remove anyone involved in the drug trade from the street to the cells. Yet demand for drugs remains high in the inner cities, and the history of the trade demonstrates that supply always meets demand. Locking up a drug courier does not mean there is one less courier at large; only that an aspiring, often under age, one gets his chance.

Mandatory minimums thus do inhibit the operations of the drug trade; but they ensure that lots of non-violent, low-level drug offenders sit in prison for a long time. In 1990, almost 90% of first-time

drug offenders in federal courts went to prison, with an average sentence of more than five years. First-time violent offenders went to jail less often and for shorter periods. No wonder the proportion of drug prisoners in federal prisons keeps on rising.

Much of this rampant incarceration is pointless. Drug users do not need to spend five years in jail to know they have offended; Like most petty criminals, most grow out of tjeir bad habit quickly enough. Besides, most give up crime, and hardly anyone starts, after the age of 30. But mandatory sentences mean that more minor villains will stay in prison well past their criminal prime. Spending $40,000 to $50,000 a year for each increasingly creaky inmate is a waste of money that could be better spent on deterring the dangerous young.

The United States is good, and getting better, at locking up the worst and most incorrigible criminals. But is casts too wide a net. The 1995 crime bill, with its proposed $12.2 billion in prison construction and extension of mandatory sentences, was very much in this mold. More recently, 65% of the 2006 Office of National Drug Control Policy budget is allocated to supply–side enforcement which means increased incarceration rates and more public spending (for often privately operated state prisons) (Maru 2009). There have to be better and more creative ways of dealing with many criminal misfits. One would be to try to cut the demand for drugs, rather than the supply. The latter has never worked, as the stable or falling street price of drugs makes clear. In 1999, a gram of cocaine cost $142 on the street; in 2006 the price had fallen to only $94 per gram (Maru 2009). Trend analysis of cocaine prices depends often on base years selected and avoidance of interpreting singe data spikes. For instance DEA reports that cocaine prices increased in 2007-08 from $100 to $200 per gram on the street, which may have been due to the Mexican crackdown on drug gangs and consequent interruption of supply (*The Economist* 2009f, 43). Nevertheless, longer-term price trend are downward and the argument for alternatives to incarceration is empirically strong. A Rand Corporation study found that $1 of drug treatment lowers drug consumption as much as $7 worth of law enforcement does. Treatment can lower the volume of drugs consumed; the less consumption, the fewer drug-related crimes.

There is also a case for insisting on prison for violent first-time offenders and tougher treatment for violent juveniles. A study by the National Bureau of Economic Research found that the cost of locking up a violent criminal was much less than the cost of the mayhem he would probably have committed.

And there is also a case for developing forms of punishment that stop short of prison. Technical parole or probation violations, such as being caught drinking or in the wrong district, are the most common reasons why people go to prison. That can be an overly harsh- and hugely expensive- punishment for people considered nonthreatening enough to be on the streets.

It is not just criminals who are paying an exaggerated price for America's addiction to incarceration. The criminal minority, in effect consumes an increasingly disproportionate share of the public purse. From 1986 to 2001, state prison expenditures increased 150%, from $11.7 billion to $29.5 billion (BJS 2005). State spending on prisons has increased more than sixfold in real terms since 1979, using money that could have been spent on education, parks, and hospitals. Getting tough on crime is punishing not just the bad guys, but law-abiding citizens as well.

(*Excerpt taken from 'Cases in Public Policy Analysis' p.54-57, by G.M. Guess and P.G. Farnham, 2011*)

In the Pre-discussion consider the following issues:
1. What is the main problem for analysis & why is this the main problem?
2. What are the underlying (implicit or explicit) assumptions of this problem definition?
3. Who are the main (groups of) stakeholders in this problem?
4. What does the case tell us about the causes of the problem?
5. What does the case tell you about past policies taken on this problem?
6. What (implicit or explicit) assumptions are underlying these policies?
7. What are the contextual factors impacting this problem?
8. Is there another way to define the problem? What is the effect of such "re-framing'?
9. Any additional learning goals, next to the questions below for the post discussion, that come up in the group after discussing the case?

At home in between the tutorials: Read the literature and prepare the questions below individually.

In the Post discussion the different questions below are to be discussed and explored jointly and preferably the post discussion leads to a joint answer. The discussion needs to be based on the studied materials and literature.

Post-discussion questions:
1. What is the main problem for analysis & why?
2. What data are relevant to use in this problem definition? Are they available and verifiable?
3. What are the underlying assumptions of this definition of the policy? By whom? Are these realistic given the data and results?
4. What are the main stakeholders, what interest do they have in the problem(what issues are at stake for them) and how powerful are they?
5. What does the case tell you about the causes of the main problem? (causal analysis)
6. What analogies can you come up with that could be used to contribute to a more comprehensive definition of the problem?
7. Considering your full analysis, what would be your policy advice to the Governor of California?

Required Readings:
- G.M. Guess and P.G. Farnham (2011), chapter 2: Problem identification and structuring page 23-53 (e-R)
- Stakeholder analysis see & use: http://www.odi.org/publications/5257-stakeholder-analysis + http://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/6459.pdf + check also http://stakeholdermap.com/stakeholder-analysis.html#edenackermann .
- With regard to framing the problem, also take into account figure 8.1 page 173 of Ingram H and Schneider A.L. (2006) 'Policy Analysis for Democracy' of case 1.

Optional when you are interested in the American justice system & prison policies**:**
- See recent article on California overcrowded prison policy at https://www.huffingtonpost.com/entry/california-private-prison_n_4157641.html
- A good read on the subject is: Bryan Stevenson (2014) "Just Mercy, a story of Justice and Redemption" (https://www.nytimes.com/2014/10/19/books/review/just-mercy-by-bryan-stevenson.html)
- Related Documentaries: the 13th Amendment & Making Murder (Netflix)

Case 3   Presenting alternatives for failing European Refugee Policies

The EU's policy plan to resettle up to 160,000 refugees from Italy and Greece throughout its member states is failing amid waning political will to help those risking their lives to reach Europe. Dimitris Avramopoulos, the European Commissioner for migration, said some countries have failed to relocate a single person "in breach of their obligations" as legal action is considered. "Relocation is vital to the success of our migration and asylum policies based on solidarity and responsibility," he told the European Parliament on Tuesday. "This is why it is so essential that relocation works in all its aspects, and is implemented by everyone." For this, one element remains critical for the success of the scheme: the political will and the mutual cooperation and trust between member states." Mr Avramopoulos argued that the quota-scheme benefits the entire EU and "integrity" of the Schengen area, calling for fresh efforts to move all eligible asylum seekers. "This cannot be the responsibility of just a few member states – this must be shared be all," he added. "It cannot be that while the majority of member states are making real efforts in a real European spirit, others continue to show no solidarity."

Hungary and Poland voted against the resettlement quotas, while they and Austria remain the only EU countries not to have relocated a single refugee, "in breach of their legal obligations" and commitments. The UK chose not to take part in the EU's quotas while carrying out its own resettlement schemes mainly targeting camps surrounding Syria.

While more than 18,400 migrants have so far been taken from overwhelmed camps, 12,500 people in Greece and 4,000 in Italy remain stranded despite being found eligible for transfer under UN guidelines. In September 2015, EU states committed to relocating up to 160,000 refugees from the two countries within two years, later revising the figure down to 98,000 after finding that fewer people than expected were eligible. The total is on track to hit less than 40,000 by its deadline in September.

Asylum seekers trapped in squalid camps have killed themselves amid increasing desperation, as charities warn of attempted suicide, rape, sexual abuse and prostitution in Greece. The EU called on Italy to ensure all refugees eligible for relocation are properly registered, amid record arrivals over the Mediterranean Sea from Libya – a journey that has killed a record 1,300 people so far this year.

While crossings to Greece have plummeted since the controversial EU-Turkey deal, the number of migrants arriving in Italy has continued to rise, seeing almost 13,000 people disembark last month alone. The Italian government delivered patrol boats to the Libyan government on Monday to bolster its capacity to combat people smuggling, despite allegations of widespread torture and human rights abuses. EU states have backed an agreement drawn up by Italy to spend millions of euros helping the fragile Libyan Government of National Accord upgrade its capability with equipment and training.

UN figures show 55,215 asylum seekers have made it across the Mediterranean Sea so far this year (May 2017), mostly from Guinea, Nigeria, Bangladesh and Syria, while more than 1,300 have died in the attempt.

(Based on an article in The Independent, written by Lizzie Dearden, May 16th 2017, at http://www.independent.co.uk/news/world/europe/eu-refugee-quotas-160000-italy-greece-failing-european-commissioner-legal-cases-obligations-a7739396.html)

Your assignment:
You are part of a team of policy advisors for the European Commission. Dimitris Avramopoulos, the European Commissioner for migration has tasked you to come up with evidence based policy advice on alternatives for the failing refugee policies. The team has to present the alternatives next week.

In the **presentation** the following issues should be addressed:
1. Provide a clear summary of the actual problem(s) and specify what are the possible, plausible and actionable causes?
2. What problem would you focus on and why?
3. What are the underlying assumptions and context of the current failing policy?
4. Which (three or four) evaluative criteria do you take in to weigh the policy alternatives against and why? Are they equally important? (K&F Ch 6)
5. Which alternative policy options are there? The options don't have to be fully elaborated, but be as specific as you can, using evidence from academic and policy literature and indicate what type of info you would still need to have, to provide the chosen option with sufficient evidence. (K&F ch 5)
6. What are the drawbacks/limitations of each option?
7. After considering all of the above, formulate your policy advice to the Commissioner (make clear what the alternatives are and how they "score" with regard to the evaluative criteria and what follows from that as your advice).

Process for this case:
This mock-case is spread out over 3 tutorial days (pre-discussion per sub group 1 hour; working in subgroups in subsequent tutorial for two hours; presentation & discussion by each subgroup in last one hour tutorial). The objective is to formulate a policy advice to the Macedonian Minister of Social Affairs (you are the policy analyst).

We divide in **three groups** and have a **pre-discussion (one hour)** on the case above, particularly around the issues that are posed below. By the end of class all groups have agreed on a strategy of how to work on these questions and who does what. In between the tutorials everyone reads the

required literature but also looks up additional information that is relevant to the case (agree in group in pre-discussion who looks for what where). In the **next tutorial (2 hours),** the subgroups discuss the questions and literature and work on a (max 10 minute) presentation on the issues below. In the **subsequent tutorial (first hour),** each group presents their findings and argumentation in 10 minutes (excluding 5 minutes for questions after each presentation) to the Ministerial department (rest of class, who are supposed to ask questions afterwards).

Required Readings:

–   Kraft M.E. and Furlong S.R. (2013) Public Policy, politics, analysis and alternatives: Chapter 4: page 132-141; Chapter 5 (page 149-176); Chapter 6, 183-195 (e-R)
–   Look up academic journal articles, policy and evaluative literature on this subject matter. Be careful with newspaper information: make sure you track and verify the 'facts' presented to their original source when you decide to use them.

Case 4 Beyond Efficiency? Cost-Benefit Analysis & Cost Effectiveness analysis
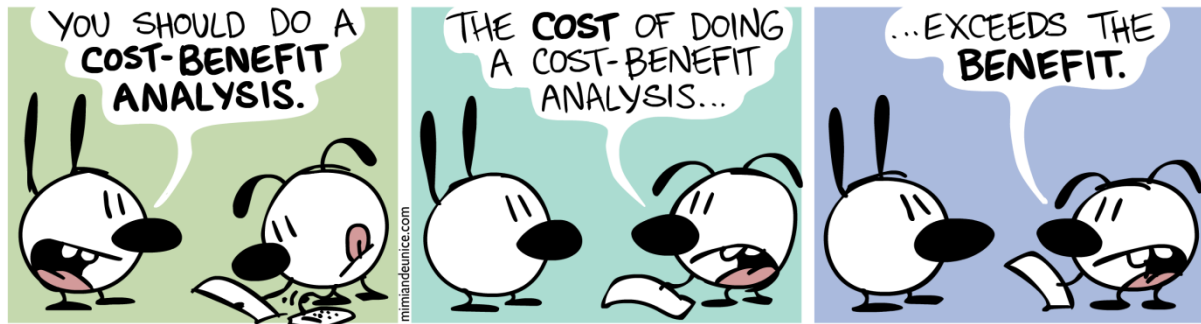
A Cost benefit analysis is a frequently used method in policy analysis and evaluation. In theory it is a pretty straightforward exercise. The analyst identifies all the important long term and short term costs and benefits (step 1); measures the tangible costs and benefits in monetary (euro/dollar) terms and either estimates or acknowledges those that cannot be measured easily (step 2); adjusts the measurements for changes in value over time (a discount rate which adjusts for changes in value over time to ensure that all are expressed in commensurable terms) (step 3); and sums up and compares all the costs and benefits and concluded whether the costs outweigh the benefits or vice versa (step 4) (Kraft and Furlong 2013).

However, it often is not that straightforward as it looks like. For instance is a program with a cost-benefit ratio of 1:3 'better' or worse in terms of efficiency, compared to a program with a ratio of 1:6? How and who determines what costs and what benefits to include or exclude? Are the measurements used really adjusted for changes in value over time? To what extent can we translate the wide variety of public policy issues into monetary terms? Can we fairly estimate the dollar value of things like improved public health of reduced air pollution or value of time lost in traffic? And how does CBA relate to questions of equality and equity? Are Cost Effectiveness analyses an alternative to CBA? And how should we decide to use or not to use CBA?

In the **pre-discussion** explore the text and the example below. Consider and debate the above mentioned steps and questions and define your learning goals when studying the following example. In the **post-discussion** consider the steps and answer the above questions having read the literature.

A cost benefit analysis on the US federal policy on gasoline tax

A team of analysts needs to carry out a cost benefit analysis and come up with an advice. The US has the lowest tax on gasoline in the world. Because a complete cost-benefit analysis would become too complicated and expensive, the analysts limited themselves to the issues they consider most important.

In their report they conclude that raising the tax on gasoline would yield many intangible benefits, among them lowering the country's dependence on imported oil. Furthermore it would reduce urban air pollution and improve public health; reduce carbon dioxide emissions and the risk of climate change; cut back on traffic congestion and drive time and lessen traffic accidents thereby saving lives and preventing injuries. A higher gas tax could have all of these benefits and substantially increase government tax revenues by internalizing the social costs of driving and providing an incentive to people to drive fewer miles or seek alternative forms of transportation.

They also come up with a list of costs. Raising the tax would indeed impose direct costs on drivers and on a variety of services that depend on transportation. It could also have an adverse impact on low and moderate income citizens who have few alternatives to using automobiles as they live in sparsely populated areas.

Although the team of economists had difficulty measuring all the benefits noted, they estimated that the pollution damages amount to 40 cents a gallon, the carbon dioxide emission 6 cents a gallon (estimates vary widely here) traffic congestion about 70 cents a gallon on average and traffic accidents at 60 cents a gallon, for a total of $1.76 a gallon. To take into account that gasoline taxes actually tax the fuel purchased as opposed to the distance that is traveled and some of the negative economic effects of raising fuel taxes the analysts lowered this amount to about 1.00 $ per gallon. This according to them would be the optimal tax for gasoline that would internalize the major social costs.

Source: Adapted from Kraft M.E. and Furlong S.C. in Public Policy, politics, analysis and alternatives (2010), page 164, 165, who based their example on the research of Parry I.W.H. 'Is gasoline under taxed in the United States?' resources 148 (summer):28-33.

Required Readings:
– Kraft and Furlong (2013) Chapter 6 p. 195-197; 199-207 (e-R)
– Heinzerling L. and Ackerman F. (2002), "Pricing the Priceless: Cost-Benefit Analysis of Environmental Protection." Georgetown Environmental Law and Policy Institute, Georgetown University Law Center, available at: http://www.ase.tufts.edu/gdae/publications/C-B%20pamphlet%20final.pdf
– Your Money or your life a review on pricing the priceless by C Sustein: https://newrepublic.com/article/63184/your-money-or-your-life

Optional reading:
– Dunn W.N 2012 Chapter 5, sections on cost benefit and cost effectiveness: 207-218 (e-R)
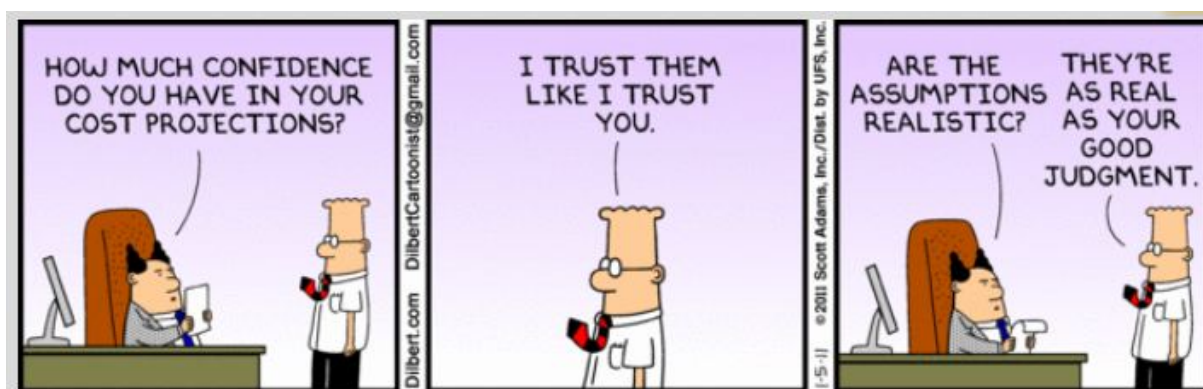
Case 5. The Paradise Papers and what about Ethics, Accountability & Leadership in Policy Making, Analysis & Evaluation?

"The chief fundraiser and senior policy adviser to the Canadian prime minister, Justin Trudeau, who played a critical role in the rise to power of the charismatic politician, was involved in the movement of millions of dollars to offshore havens, the Paradise Papers reveal. Stephen Bronfman, heir to the Seagram fortune, who was instrumental in Trudeau's successful bid for the leadership of the Canadian Liberal party in 2013 and the premiership two years later, engaged through his family investment business in a complex web of entities in the US, Israel and the Cayman Islands. Multimillion-dollar cash flows between the three jurisdictions might legally have avoided taxes in the US, Canada and Israel. The leaked documents unveil a close relationship between two wealthy families who collaborated to shift millions of dollars to the Cayman Islands. On one side were the Bronfman family, inheritors of the Seagram distillery fortune in Montreal. On the other side was the Cayman Islands-based trust of Leo Kolber, a former Canadian senator and powerhouse within the Liberal party Trudeau now leads. Accountants working for the families discussed the possibility of recasting interest owed by the Kolber trust to two US-based Bronfman funds as "services rendered", on the basis that the loans were not "in substance (only in form)". Tax experts say that such interest-free loans would generally be barred under US tax laws.

The disclosures are likely to generate political heat for the Canadian prime minister, who swept to power in October 2015 partly on his promise to tackle economic inequality and take on tax avoidance. Last year, Trudeau came under pressure in the fallout from the Panama Papers, the trove of leaked documents from the offshore law firm Mossack Fonseca, during which his family inheritance was scrutinised. At that point Trudeau insisted his personal assets, which he put into a blind trust after he won his party's leadership, were "completely transparent". But he came under renewed pressure this year following a Canadian Broadcasting Corporation (CBC) investigation into a KPMG scheme to help wealthy Canadians move money to the low-tax Isle of Man. "It is absolutely unacceptable that there be people not paying their fair share of taxes," the Canadian prime minister said in March, pledging to do "a better job of going out and getting tax avoiders and tax frauders".

The Paradise Papers put the spotlight once again on Trudeau's record on tax fairness, only this time the focus falls within his inner circle. Specifically, on Bronfman, one of his closest advisers. The two men are childhood friends who in recent years have revived their bond to assist Trudeau's meteoric rise. Bronfman, 53, raised $2m for Trudeau's leadership campaign and was was rewarded by being made the Liberal party's chief fundraiser with a seat on its national executive. Bronfman runs Claridge, the Montreal-based investment firm set up by his father, Charles Bronfman, to manage the vast wealth of the Seagram liquor empire, which came to prominence in the 1920s supplying the illicit alcohol trade during US prohibition. The distinctive Seagram Building in Manhattan, designed by Ludwig Mies van der Rohe, still stands as a monument to the family's status. One of Claridge's clients was the Cayman Islands-based trust of Kolber, Stephen Bronfman's godfather and predecessor as

chief fundraiser of the Liberal party who for decades was in charge of the Bronfman family's investments. Kolber was appointed to the Canadian senate in 1983 by Pierre Trudeau, Justin's father, towards the end of his stint as prime minister. The tight triangle between Kolber, Bronfman and Trudeau was on display last December when a Liberal party fundraiser, at $1,500 a ticket, was held at Kolber's Montreal home with Bronfman as co-host and Trudeau as its prize draw.

Confidential emails contained in the Paradise Papers reveal that links between the Bronfman and Kolber businesses were so close they were almost intertwined. In 1991, a Kolber family trust was set up in the Cayman Islands and Leo Kolber's son Jonathan named as one of its beneficiaries. The Bronfmans helped kickstart the Kolber trust with an injection of millions of dollars of funds, the leaked files show, including a $5.3m loan made by Stephen Bronfman personally in 1997. By then the trust was flush with almost $40m in assets. From the beginning, the arrangement between the two families over the repayment of the Bronfman loans was unusual. A contract tied to a Charles Bronfman loan in 1991 of almost $10m said: "The loan shall bear interest at such rate as may be determined between the parties from time to time." In 2002, the Kolber trust took on an $8m debt to the Israeli offshoot of the Bronfman empire, Claridge Israel – an enterprise that, in a further sign of the close ties between the two families, Jonathan Kolber had helped set up and run after he relocated from Canada to Israel in 1991. For reasons that are unclear but do not suggest anything unlawful, the Kolber trust debt was transferred from Claridge Israel to two other Bronfman entities. The entities, Charles Bronfman Trust and Charles R Bronfman Trust, were US-based and thus liable to pay US taxes on any interest accruing, which would be treated as income.

In October 2005, Jonathan Kolber fired off an 18-page fax from his business offices in Israel about the Cayman Islands trust of which he was beneficiary. He hand-wrote on the cover sheet: "CONFIDENTIAL!!" One of the documents in the fax was an email that was sent to him from a financial adviser. It noted that as a result of the switch of the debt from Claridge Israel, the Kolber trust had paid the US-based Bronfman trusts about $40,000 in interest charges. The email went on to say: "As there was never supposed to be interest paid on this debt in substance (only in form), the [Kolber trust] needs to be compensated by the Bronfman trusts for these cash outlays, in some manner to be agreed upon by both parties." A second email from the financial adviser contained in the fax gives details of the "manner" by which the interest issue might be resolved. It records that senior Bronfman officials told Kolber that they would "'make you whole' somehow".
One idea floated in the email was to get Kolber to "invoice Claridge a fee for services rendered, equal to the interest which Claridge has charged to the [Kolber trust] on these loans". The Kolber trust would then mark on its books the sums as receivable fees instead of describing them as they really were – reimbursement of the interest payments.

Experts consulted by news organizations investigating the Paradise Papers said both the US and Canadian tax authorities viewed no-interest loans as red flags for potential tax avoidance schemes. Grayson McCouch, a tax professor at the University of Florida, told CBC that in his view the US Internal Revenue Service (IRS) would probably want to interrogate the transactions. "If it's done to disguise or to reverse the purported interest payments, then it could look to an observer, particularly a revenue service, like evidence of fraudulent intent," he said.

Steven Rosenthal, a senior fellow at the Tax Policy Center, told the Guardian that under US tax law any loan greater than $10,000 that charged no or below-market interest rates would be assumed by the authorities to bear imputed interest that would bring it up to applicable federal levels. "The lender must report it as taxable income and pay taxes on it," he said. The head of the international tax program at the University of Michigan, Reuven Avi-Yonah, told the International Consortium of Investigative Journalists that tax laws generally barred transactions that failed to report interest. "You can't have interest-free loans between related parties," he said.

Jonathan Kolber stressed to CBC that he had relocated his family's trust from the Cayman Islands to Israel a few years ago following a change in Israeli tax law. "The trust declared Israeli status and we paid back taxes and whatever they asked for," he said. Kolber went on to deny any wrongdoing: "I've never broken any laws and this was all reported and so transparent, and is now an Israeli entity. This has all been declared and above board and properly handled with full transparency." Stephen Bronfman and Leo Kolber declined to comment.

A lawyer representing Jonathan Kolber and Bronfman father and son denied any improper activity on their part. He said: "None of the transactions or entities at issue were effected or established to evade or even avoid taxation. My clients have always acted properly and ethically, including fully complying with all applicable laws and requirements." The lawyer said that the Cayman Islands trust was set up because of volatility in Israel at the time. Kolber was not liable for tax in Canada under existing law given that he no longer lived there; nor was there any tax owing in his adoptive Israel. The lawyer confirmed that Stephen Bronfman did make a $5.3m loan to the Kolber trust in 1997, but said it was repaid within five months.

Of the proposed reimbursement of interest from the two Bronfman trusts based in the US to the Kolber trust and the suggestion that it be portrayed as "services rendered", the lawyer said: "No invoices were sent and nothing was paid." He added that "non-interest-bearing loans by a US person do not violate US law". Trudeau was contacted at his official prime ministerial residence, 24 Sussex Drive, but chose not to respond.

(Taken from The Guardian, November 5, 2017, written by Ed Pilkington: https://www.theguardian.com/news/2017/nov/05/justin-trudeau-adviser-stephen-bronfman-offshore-paradise-papers)

Required Readings:
  – Weimer and Vining (2011)Policy Analysis,Chapter 3:Towards professional Ethics p.39-53 (e-R)
  – Douglas J. A. (1984) "Why Policy Analysis and Ethics Are Incompatible", *Journal of Policy Analysis and Management*, 3, 4: 573-591. (e-R)
  – Ebrahim & Weisband Global Accountabilities (2007): chapter 1, p 1-20
  – Scharmer C.O. (2009) "Theory U, leading from the Future as it emerges. The social technology of presencing". For a new perspective on leadership. See Abstract: https://www.presencing.com/sites/default/files/page-files/Theory_U_Exec_Summary.pdf
  – When interested in how these ideas can be used in analysis and/or policy innovation: see some columns of Otto Scharmer in Huffington Post in which he applies these ideas to current policy issues/makers: "Trump: The blind spot that created him" https://www.huffingtonpost.com/entry/on-the-making-of-trumpthe-blind-spot-that-created_us_58264d03e4b02b1f5257a1ca ; and "Trump and transforming capitalism" https://www.huffingtonpost.com/entry/trump-and-transforming-capitalism-making-our-movement_us_5a06ef9ce4b0f1dc729a6b39 // ; and Scharmer C.O.: "Trump, are we ready to go"https://www.huffingtonpost.com/entry/2017trumpare-we-ready-to-rise_us_5861ea62e4b014e7c72eddf2

Case 6 — Is registration of sex offenders effective in decreasing recidivism? Applying a realist plan evaluation of US or UK policies to advice the Dutch Minister of Justice.

Sex offender policy is one of the most controversial areas of criminal justice policy and in society as a whole. The ultimate goal of sex offender legislation is to create safer societies. Both the US and the UK have policies in place for this. The Dutch government is considering adapting its policy on recidivist sex offenders. One of the considerations is registration and /or community notification as is currently applied in the UK and US. On the basis of the experiences in these countries, you are asked to come up with a policy advice for the Dutch Minister of Justice, after having done a plan evaluation of UK or USA policy (see below).

Process for this case:
The objective of this case is to get an idea what it is to make a plan evaluation of an existing policy in the US or the UK and on the basis of this come up with a policy recommendation, in this case for the Dutch Minister of Justice. This means, besides making the plan evaluation (reconstructing the original policy; making explicit the underlying mechanisms/assumptions in their assumed contexts, as well assessing the validity of these mechanisms/assumptions) you also have to check the comparability of the contextual factors between the countries (as in any research set up based on a comparative case analysis).

This is therefore an extensive case to practice carrying out a realist or TBE evaluation, before writing your final paper in this way. You will work on this case during three tutorials with your team. In the first tutorial (one hour) you start with deciding which case to look into, finding the original policy, discussing the steps of realist evaluation to make sure all members are on the same page, considering the below questions in this to help guide you and dividing tasks to prepare for the next tutorial. Questions around the approach, literature or lecture can be raised in class as well during the first tutorial. By the end of the first tutorial all sub-groups have agreed on a strategy of how to work on the below questions and who does what.

In between the tutorials everyone reads the required literature and looks up additional information that is relevant to the case (agree in group in pre-discussion who looks for what where: use the original policy documents for your reconstruction & analysis. For the assessment of mechanisms and context use academic & policy literature (see also section 3 and below).

In the second tutorial (two full hours), you discuss the questions and literature in your subgroup, integrate your reconstructions and assessments and start working on a (12 minute) presentation on the seven questions below that together make up an important part of a plan evaluation (as a forecast) for a new policy intervention. In the third tutorial (first hour), each group presents their findings and argumentation in twelve minutes (excluding five minutes for questions after each

presentation) to the rest of class, who is supposed to follow each presentation and ask critical questions afterwards.

Plan evaluation questions:
1. What is the actual problem (definition) and when and where is the problem manifesting itself?
2. What is (are) the target group(s) for this intervention?
3. What is the aim of the policy intervention(s)?

Do this first for the US or UK case, then after having done the full evaluation and before you make recommendations to the Dutch Minister on the basis of that, you need to ask yourself these first three questions again but now for the Dutch case, to be as relevant as possible.

4. Reconstruction: What is the 'policy theory' for such an intervention policy (in UK and US - is there a difference?). You might want to do this in the form of CMO models for each case. Try to be as explicit as possible about the assumed change mechanisms, under what conditions/context they would work, with which group of offenders; what psychological, behavioral, social or environmental mechanisms would bring about change etcetera. Use the 'if…then…'formulation (see: Leeuw 2003). Also specify possible temporary and final outcomes/results of the intervention!
5. Assessment: What is already known from academic research and practical experience about the context and conditions in which these assumed mechanisms would or would not work? Are the in this case, by this intervention assumed change mechanisms, supported or based on an academic theory? If so, what do you know about this theory from literature? If not, what does that mean? What are your conclusions in terms of validity of each of the assumed mechanisms?
6. And are there any unintended mechanisms and processes to be expected to occur and if so which ones (see Tilley, 2004)?
7. Now check 1-3 for Dutch context; to what extent are contexts comparable? On that basis, formulate your policy advice to Dutch Minister.

Required Readings to understand what realist evaluation is and how it works:
– Pawson and Tilly (2004) Realist Evaluation (e-R)
– Weiss C.H. (1998) Evaluation: Chapter 3: Understanding the Program (e-R)
– Leeuw, F. L. (2003). Reconstructing Program Theories: Methods Available and Problems to be Solved. *American Journal of Evaluation*, 24(1), 5-20. (e-R)
– Astbury B. and Leeuw F.L. (2011) Unpacking the black boxes: Mechanisms and theory building in evaluation. *American Journal of Evaluation* 31(3), 363-381 (e-R)
– Realist Evaluation: an overview - Report from an Expert Seminar with Dr. Gill Westhorp: see http://www.managingforimpact.org/sites/default/files/resource/2011_wp_realistevaluation seminar_cecilekusters_2x.pdf

For the case: Look at WODC (Dutch policy- however in Dutch mostly, summaries in English), Campbell collaboration and academic (evaluative) literature on experiences with registration and community notification of sex-offenders in Britain and the United States

Suggestions for additional reading list on realist evaluation
(for your final paper and/or case 6)

Books on (social & behavioral) mechanisms (next to examples from practical evaluations in many policy areas) are for example:

> Elster(1989; 2007), Farnsworth (2007), Hedström and Swedberg (1998), Swedberg (2005), Bunge (2004) and Mayntz (2004). All of them have summarized and synthesized the research literature on different (types of) social mechanisms. Elster's 'Explaining social behaviour' (2007) summarizes insights from neurosciences to economics and political science and discusses 20-plus mechanisms. They range from 'motivations', 'emotions' and 'self-interest' to 'rational choice, games and behavior and collective decision-making'.

Examples of single and synthesis Evaluation Studies (some using realist evaluation):

– www.campbellcollaboration.org
– www.wodc.nl (for example http://www.rijksoverheid.nl/nieuws/2012/12/03/onderzoek-wodc-wat-is-het-meest-effectief-bij-langdurig-toezicht-op-zedendelinquenten.html)
– Pawson,R (2002). Evidence and Policy &Naming and Shaming, Policy Studies 23(3/4), 211-230
– White H. (2011) Theory Based Impact Evaluations, theories and practice: http://www.3ieimpact.org/media/filer/2012/05/07/Working_Paper_3.pdf
– Prashanth NS, Marchal B, Hoeree T, et al.How does capacity building of health managers work? A realist evaluation study protocol. BMJ Open 2012;2: e000882. doi:10.1136/ bmjopen-2012-000882: http://bmjopen.bmj.com/content/2/2/e000882.full.pdf+html
– Herens M. et al.(2016) Contexts, Mechanisms and Outcomes that matter in Ducth community based Physical activity programs that target vulnerable groups (see http://ehp.sagepub.com/content/early/2016/06/16/0163278716652940.abstract)
– Tilly, N (2004) Applying theory driven evaluation to the British Crime Reduction Programme. The theories of the programme and of its evaluations. *Criminal Justice*, 4(3), 255-276 (e-R)
– Harmelink M, Nilsson L, Harmsen R *(2008)* Theory-based policy evaluation of 20 energy efficiency instruments, Energy Efficiency1: 131–48.available at: http://www.unternehmenssteuertag.de/fileadmin/user_upload/Redaktion/Seco@home/nac hhaltiger_Energiekonsum/Literatur/Diskussion_politischer_Instrumente/evaluation_fulltext. pdf
– Kruisbergen E.W. *(2007) Voorlichting: doen of laten?* Theorie van afschrikwekkende voorlichtingscampagnes toegepast op de casus van bolletjesslikkers. Beleidswetenschap19(3): 38–51
– Pawson R, Sridharan S *(2010)* Theory-driven evaluation of public health programmes. In: Killoran A, KellyM (eds) Evidence-Based Public Health Effectiveness and Efficiency. Oxford: Oxford University Press, 42–62

On the method:

– Leontien van der Knaap, Frans L. Leeuw & Stefan Bogaerts (2008), Combining Campbell Standards and the Realist Evaluation Approach. The Best of two Worlds? In: *American Journal of Evaluation,* 29,1: 48-57 (to be found via e-journals UM library
– *Pawson(2006) Evidence-based Policy: A Realist Perspective,* London: Sage http://www.leeds.ac.uk/sociology/realistsynthesis
– Leeuw F.(2012) What can Theory Based Evaluation Contribute, available at http://ec.europa.eu/regional_policy/information/evaluations/pdf/impact/theory_impact_gu idance.pdf
– Klein Haarhuis CM and Niemeijer E. (2009) 'Synthesizing Legislative Evaluations: Putting the Pieces Together' *Evaluation* 2009;15:403 (e-R)

On Evaluation in general:

- NONIE Impact evaluation guidance: see World Bank link: http://www-wds.worldbank.org/external/default/WDSContentServer/WDSP/IB/2010/10/26/000333037_20101026023302/Rendered/PDF/574900WP0Box351BLIC10nonie1guidance.pdf
- See OECD DAC on Evaluation http://www.oecd.org/document/12/0,3746,en_2649_34435_46582796_1_1_1_1,00.html
- Dunn W.N. (2012) Public Policy Analysis: Chapter 7: Evaluating Policy performance, p 309-332 (see UCM library)
- Frey B.S. and M. Osterloh (2006): Evaluations: Hidden Costs, Questionable Benefits and Superior Alternatives, Center for Research in Economics, Management and the Arts, Working paper 23 , available at: http://www.crema-research.ch/papers/2006-23.pdf

3.   Resources

There is a variety of interesting academic journals that you can consult and access through the University Library. Leading Journals of Public Policy and/or Public Administration are for instance: Journal of Policy Analysis and Management; The American Review of Public Administration, Public Administration Review, Journal of Public Policy; Policy Sciences; Policy Studies Journal and Review of Policy Research; the Journal of Policy Reform, Journal of Public Administration Research and Theory; International Journal of Policy, Administration and Institutions; Governance; Journal of Policy History; Local Government Studies and many more. Leading journals of Evaluation are for instance: Evaluation; American Journal of Evaluation. Other interesting journals are for instance: Political Analysis; Journal of Development Studies; Journal of International Development; Public Administration and Development; Oxford Development Studies; Development Policy Review.

A selection of interesting websites:
- Organization for Economic Cooperation and Development, Development Assistance Committee (OECD/DAC) Evaluation of Development Programs, www.oecd.org/dac/evaluation/
- World Bank, Independent Evaluation Group (WB/IEG), www.worldbank.org/oed/
- Tools for Institutional, Political and Social Analysis. A sourcebook for development practitioners by The International Bank for Reconstruction and Development / The World Bank 2007:http://www.governat.eu/files/files/pb_world_bank_tools_for_policy_analysis.pdf
- Resources for the Future, think tank in economic analysis of environmental and natural resource issues http://www.rff.org/Pages/default.aspx
- RAND, Think tank on wide variety of policy issues: http://www.rand.org/randeurope.html
- WTO Economic research and analysis http://www.wto.org/english/res_e/reser_e/reser_e.htm
- The Urban Institute economic and social policy research: http://www.urban.org/
- GSDRC gateway database for development research on monitoring and evaluation: http://www.gsdrc.org/go/gateway-guides/monitoring-and-evaluation
- International Development Evaluation Association (IDEAS), http://www.ideas-int.org/
- The International Programme for Development Evaluation Training (IPDET) http://www.ipdet.org/
- United Nations Evaluation Group (UNEG), http://www.uneval.org/
- UNICEF Research & Evaluation, www.unicef.org/evaluation/
- Canadian Evaluation Association www.evaluationcanada.ca
- United Kingdom Evaluation Society (UKES) www.evaluation.org.uk
- A Think Tank directory for Europe on a variety of issues: http://www.eu.thinktankdirectory.org/
- My M&E, a resource center managed by Unicef and UN Women on how to design and manage evaluations that integrate Equity, Human Rights and Gender Equality. See for instance an interesting collection of video's on different evaluation methods by range of experts: http://www.mymande.org/?q=video&x=admin&y=ve
- MANDE: The focus of this website is on methods of monitoring and evaluating the progress and outcomes of development aid programs. However many of the methods discussed here are also relevant to the practice of evaluation when applied to policies and programs implemented by government and civil society organisations in richer countries, not just countries receiving international aid. See: http://mande.co.uk/
- TED, for inspiration and creativity beyond analysis and evaluation: http://www.ted.com/

Your Notes: