Codebook for Policy Coding
Major and Minor Policy Change
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Coding Categories

1. Policy instruments are the "techniques or means" by which a policy attains its goals and involves the extent of behavior change (Howlett, 2010; pg 22). Policy instruments connote "action". They are bundles/clusters of institutional statements and rule types that configure in changing something about the policy target. Policy instruments are classifications or represent a general typology of different types of "causal theories" (ala Mazmanian and Sabatier). A policy can have more than one policy instrument and the behavioral change can be small or large (subsystem wide or subsystem subset in scope). The identification of the instrument begins with existing typologies but builds inductively from what is found in a policy. The classification of a policy instrument can be identified by looking at the intended behavioral change of the policy target (might need to explore the difference between how the change happens versus what the behavior change is – Fernandez-i-Marin et al. 2021, will be examined on this point). In achieving the end behavior change, there might be various intermediate behavior changes.Only code the end. So the question we'd ask while coding might be something like "what behavior do we want to change with this policy?" or "How will the behavior change?" To code this we will build on the methods in Fernandez-i-Marin et al. (2021), i.e., Knill's work – they have a reliable method.

Will also consider Authority (granting or removing or moving authority (decision rules in IAD) – this is a key policy core category for ACF.

2. Policy targets are always actors who are the subject of the policy instrument (Fernandez-i-Marin et al., 2021 – but they did inanimate and animate subjects). In the "causal theory" of the policy, the policy target is the end of the policy's Rube Goldberg Machine. The question to ask is "whose behavior will change as a result of this policy?"
a. Targets vary as a proportion of their role in the policy subsystem.
b. List of targets are identified inductively via the policies.
c. Amount of behavioral change required or permitted onto actors.

3. Policy topics refer to what the policy targets are dealing with (sort of equivalent to "objects" in our grammar coding but at the policy level not statement level). That is, any change in behavior of a policy target involves a topic.
a. Topics vary in scope, some are subsystem wide and others narrow (What is the policy change about? How many xx does this change impacts.
b. Topics are inductively identified and classified via the policies.

Elements of this codebook adapted from:

Fernández-I-Marín, X., Knill, C., and Steinebach, Y. (2021). "Studying Policy Design Quality in Comparative Perspective." *American Political Science Review* 115(3): 931-947.

Coding Instructions:
Analyzing the characteristics of policy change takes the following steps:

Step 1. Familiarize oneself with the policy subsystems. Learn its basic contours, etc.
Identify the basic function/purpose. What is the policy subsystem generally trying to achieve?

Step 2. Identify the population of policy outputs over a specified time period
    a. Find the population of public policies to study.
    b. Seek to identify the baseline or the point of departure (e.g., what were the previous policies prior to the change) is going to be critical here to determine whether a new policy really is diverging in meaningful ways from previous policy.
Step 3. Code the policies as individual documents/independent of the others
   1. Basic descriptions of the goals and means per policy
    a. Ask: "what is the policy trying to achieve?"
    b. Maybe map the Rube Goldberg Machine.
   2. Code the topic, target, and instruments/authority *see codebook below,
    a. There is no judgement whether these are policy core or secondary aspects.
    b. The goal is reliable coding.
Step 4. Link the policies (once coded) over time and document the changes/evolution.
   1. Changes in policy targets, instruments, topics, and implementers
    a. For example, it might be that a target is new, an instrument is not new but refined, the geographic scope is new.
    b. No judgement here whether these changes are policy core or secondary aspects.
    c. The goal is reliable coding.
Step 5. Assess changes as policy core or secondary aspects
   1. Changes in the policy core involve a combination of the following subsystem wide in topic, new instruments with subsystem wide impacts, new actors with subsystem impact, changes in authority with subsystem wide impact of existing or new actors, new targets with subsystem wide impacts. (Note – the meaning of "subsystem wide" will be explored in this process.) Could be removal of all the above.
   2. Changes in the secondary aspects include subsystems subset changes, adjustments to instruments, changes in targets, implementers, and topics subset of subsystem. Focus on means no changes in goals.
   3. Subsystems change over time, so a change in T1 might be a policy core change but the same change in T2 might be a secondary aspect change
    a. For example, a new instrument might signify a change in a policy core but a policy modifying the same instrument would be a change in a secondary aspect.
    b. Whereas Steps 1-4 use mostly established procedures (Knill among others), Step 5 we need to build ourselves

4. Any policy will be a configuration of policy core and secondary aspect changes. At the extremes (which might not be found at all), a policy with only secondary changes is minor change, a policy with only policy core changes is major change. More likely, a policy with a mix of secondary and policy core changes falls in a mixed category (perhaps a new typology to be created here)

        a. These will likely be fuzzy logic, not included, fully included, partially included ala Goertz

CODING INSRUCTIONS
- Coders should read through the full policy prior to coding.
- Coders should review codebook before coding.
- When coding, coders should:
  - Coding should be done on the statement level, (i.e. the policy should be coded whenever this is mention of a new topic-instrument/authority-target combination).
  - Code for a single category of code at a time (i.e. code entire document for a single category code and its subcategories before moving onto the next category and its subcategory).
  - Statements are identified by a mention of new instruments or authority rules. When either a new instrument or new authority rule is attached to a new topic and/or target, this should then be coded as a statement.
- For the **TOPIC** parent-code, depending on policy context, the topics should be initially coded inductively and revised for clarity and potentially condensed in a second round of coding.
- Coding performed in Discourse Network Analyzer.

Codebook:
Note: Parent codes in caps, codes in bold.
- **TOPIC**—Scope includes the topic of the policy (i.e. fracking fluid); some are subsystem wide and others narrow. What is the policy about? Scope also include geographic scope. Does this policy address the entire geographic area of the subsystem (i.e. the entire state of Colorado), or a subset of the geographic area (i.e. a single county).
  - Topic
    - **appropriation**–related to appropriation of financial resources.
    - **authority**–related to establishing, regulating, restricting authority, etc.
    - **conservation**–related to land and wildlife protection and management.
    - **development**–related to oil and gas development.
    - **disclosure**–related to disclosing information.
    - **drilling**–related to drilling projects for oil and gas development.
    - **eminent domain**–related to the process of acquiring land rights for oil and gas development via eminent domain laws.
    - **environmental justice**–related to diversity, equity, and inclusion measures to ensure protection and reparations for disproportionately impacted, diverse communities.
    - **funds distribution**–related to how funds are distributed.
    - **governance**–related to how oil and gas development is governed in the state.
    - **inspection**–related to inspection rules and guidelines.

- **leaks and spills**–related to oil and gas accidents that result in leaks and spills.
- **measurement**–related to measurement of emissions, impact, etc.
- **mineral rights**–related to mineral rights and who has the right to harvest minerals.
- **monitoring**–related to how oil and gas development and potential impacts are monitoring, remediated, etc.
- **oil and gas rights**–related broadly to oil and gas rights, disputes.
- **ownership**–related to how ownership is defined and rights of owner.
- **penalties**–related to penalties for violation of governing rules, or as liabilities for damage/harm caused.
- **production**–related to oil and gas production, potential or ongoing.
- **public health**–related to oil and gas impacts on public health.
- **reclamation**–related to reclaiming land previously developed for mineral extraction for wildlife conservation and protection.
- **regulate**–related to specific rules are regulation of development, production, monitoring, disclosure.
- **revenues**–related to distribution of revenues from oil and gas development.
- **setback**–related to rules regarding how close oil and gas development may be to certain vulnerable areas.
- **siting**–related to decisions on where oil and gas development is legal, safe, etc.
- **standards**–related to environmental, tech standards to regulate oil and gas development.
- **taxation**–related to taxation schemes in regard to oil and gas development.
- **technical expertise**–regarding technical best practices and technologies to responsibly exploit oil and gas resources.
- **valuation**–regarding assigning value to mineral rights, oil and gas caches, damages, etc.
- **violation**–regarding rules governing violations of oil and gas laws.
- **waste**–regarding how waste from oil and gas development is dealt with.
- **water**–regarding the protection and conservation of water.
- **well permit**–regarding how well permits are allocated, paid for, managed, regulated, etc.
- **wildlife**–regarding oil and gas issues that implicate wildlife.
- **TARGET**—Actors who are the impacted by the policy instrument OR actors whose authority is impacted by authority rules. Whose behavior will change as a result of this policy? The category of actors should be coded (i.e. individuals).
  - Actor Category
    - **COGCC** (Colorado Oil and Gas Conservation Commission)--related to instruments or authority rules that impact the COGCC as a governing body.
    - **electric utilities**–related to impacts on electric utilities.
    - **federal government**–related to impacts on the federal government.
    - **indigenous community**–related to impacts on indigenous communities.
    - **industry**–related to industry, development,private interests.

- **local government**–related to impacts on county, municipal, or other local government entities.
- **owners**–related to impacts on oil and gas owners.
- **petitioner**–related to impacts on petitioners for permits.
- **public**–related to impacts on public.
- **state actors**–related to impacts on specific state actors.
- **state regulatory**–related to impacts on state regulatory actors or bodies.
- **subsystem**–related to impacts on the entire subsystem.
- **wildlife actors**–related to impacts on non-human resources.

- **INSTRUMENTS**—The "techniques or means" by which a policy attains its goals and involves the extent of behavior change (Howlett, 2020, p. 22). They represent a general typology of different types of "causal theories" (Mazmanian and Sabatier, 1983). A policy may include one or more policy instruments. Policy instruments are classified as one of the below from the Average Instrument Diversity (AID) Index (Fernández-I-Marín et al., 2021).
  - **ins_obligatory_standards**—A legally enforceable numerical standard, typically involving a measurement unit. *Example: Limit value for lead emissions in surface water to 50 mg/l.*
  - **ins__ban**—A total or partial prohibition/ban on certain emissions, activities, products, etc. *Example: Ban on fracking in New York.*
  - **ins_tech_prescription**—A measure prescribing the use of a specific technology or process. *Example: Installations have to be operated in accordance with the principle of the "best available techniques" (BAT).*
  - **ins_tax_levy**—A tax or levy for a polluting product or activity. *Example: Tolls and road user charges.*
  - **ins_tax_subsidy**—A measure by which the state grants a financial advantage to a certain product or activity. *Example: Tax reduction for vehicles complying with a certain regulation.*
  - **ins_liability_scheme**—A measure that allocates the costs of environmental damage to those who have caused the damage. *Example: Establishment of an emission trading system.*
  - **ins_protect__instruments**—A measure defining areas or times that deserve particular protection. *Example: Action plans indicating the measure to be taken during times when there is a risk of the limit being exceeded.*
  - **ins_public_investment**—A specific public investment. *Example: Programs given financial support for the retrofitting of in-use vehicles and for scrapping old vehicles.*
  - **ins_data_collection_monitoring**—A specific program for collecting data. *Example: Establishment of measuring stations designed to supply the data necessary for the application of a certain regulation. or technical review*
  - **ins_voluntary_instruments**—Voluntary agreements or commitments between the state and private actors or by private actors alone. *Example: Manufacturers can apply for the CO_2 savings achieved as a result of eco-innovation.*
  - **ins_info**—Information provided by the state or the polluters indicating the environmental externalities of a certain product or activity. *Example: Label on fuel economy and CO2 emissions of a vehicle displayed at the point of scale or disclosure of chemical use in fracking.*
  - **other**—Any instrument that cannot be assigned to the other categories, i.e. DEI instruments for environmental justice.

- **AUTHORITY**–*Gives or restricts power to achieve different goals.*
    - o **authority_convene**–grants the authority for others to convene (e.g. appoint a review board).
    - o **authority_regulate**–grants the authority for others to regulate.
    - o **authority_restrict**–reduces or prescribes the authority to other entities (e.g. places authority as a federal purview).
    - o **authority_produc**e– grants the authority to produce oil & gas.
    - o **authority_advisory**–grants authority to advise.
    - o **authority_appointment**–grants authority to appoint members to a particular entity.
    - o **authority_appropriation**–grants authority to appropriate financial resources.
    - o **authority_assess**–grants authority to conduct assessment and to assess penalties.
    - o **authority_extend**–extends authority expiring in legislation.
    - o **authority_recognize**–formally recognizes various other authority.
    - o **authority_other**–grants different types of authority (e.g. authority to conduct a review.)
    - o *if we talk about more than one authority (convene different bodies) and who has the authority is different, we would code this multiple time*

Notes: