

EPA 1121 Advanced Policy Analysis 2008-2009 (II-2)

April – June 2009

Teaching staff: Bert Enserink and Philippe Ker Rault

Learning objectives

After completing this module the student will:

- know the difference between the monocentric and pluricentric decision-making models;
- be capable of making a structured problem analysis for complex multi-actor situations and of writing it up for a client in the form of an issue paper;
- know in theory how to use various methods and techniques for information gathering (questionnaire, interview, Delphi) and analyzing/modeling (actors model, network analysis, causal diagram, systems model, objectives analysis);
- be capable of making an initial delineation of the multi-actor system being analyzed from the point of view of a single problem owner, and of assessing whether and, if so, which modeling techniques can be used for making a more in-depth analysis and for designing and evaluating solutions;
- be capable of applying the scenario approach as a tool for systematically dealing with uncertainties in the environment of the system being analyzed.
- be capable of formulating a research proposal and plan of action including the research question(s), research method(s) and the specification(s) of required models for further research and analyses and of sketching the basic structure of the required models;

Assignment: Issue paper on sustainable urbanization

In this course we have two work forms: lectures (mostly on Tuesday mornings) and additional tutorials (mostly on Thursday afternoons). Because of many holidays in this fourth quarter the schedule is somewhat irregular so please check the roster and

Blackboard frequently! There are two elements making up your grade: the issue paper and the written exam, both make up 50% of your final mark.

The issue paper can be made as an individual assignment but preferably you cooperate with one partner throughout the course. The issue paper makes up for 50% of your final grade. Experience has taught that you will need about 6-8 hrs/week to reach a good result. Make time reservations in your agenda! Mind that working on the issue paper will help you understand better the theory presented in the reader and the articles. Try to keep up to speed; there is a two week break in the program: week 18/19 early May – use that time period to finish the analytical part of your issuepaper!

The Issue paper

In the first lecture the topic of the issue paper: “sustainable urbanization” will be introduced briefly. Urbanization is a major challenge to governments around the world and in many countries it is a major problem nowadays. In many developing countries many people migrate to the major cities in the hope to get a better living: access to work, income, services. Often there is little work and huge shanty towns come into existence and parallel economies grow. The level of public services often is very low; drinking water, sanitation and transport lag behind the rapid development. Economic, social, safety, health and political problems (to name some) can grow from uncontrolled urbanization. Even in countries where urbanization is a conscious policy, like China many problems occur because of the huge migration. Urbanization is a worldwide phenomenon, so you are allowed to pick any densely populated area in the world to analyze the problem. The assignment of writing an issue paper focuses on problem exploration, problem formulation, the formulation of research questions, and drafting a research proposal. The objective is to train students in the practice of doing a problem exploration and writing a research proposal in the form of an issue paper that you will offer to a problem owner. You should consider yourself participating in a tendering procedure, writing a research proposal for a commissioner/client – probably the national government of the country you are studying.

To prepare yourself for writing this research proposal, you will execute a causal analysis; a means-ends analysis, an objectives analysis, do an actor/network analysis and you will design scenarios. Most of these analyses (i.e. causal analysis, means ends analysis, and objectives analysis) build on modeling techniques that were first taught in EPA 1111. For those students who did not take that course yet, we provide additional material and some exercises during the first tutorial. This course puts these basic techniques in a bigger framework and focuses on the integrated use of these techniques for problem exploration and formulation. By means of these analytical techniques, through modeling and delineating the problem and through analyzing and structuring objectives you will be able to analyze any complex problem, to determine lacking knowledge and work towards a plan of action for further research. The latter implies formulating research questions, determining what methods to use to answer these question and to propose a time schedule for doing the research to a potential client/commissioner.

This years topic

This year's subject of the issue paper is "sustainable urbanization", which is an international 'hot' topic around the globe and especially in developing nations. It is a topic, which can be discussed at different levels and with various foci.

The assignments

Assignments are given to prepare for the issue paper. The outcomes of these assignments provide the basic information needed for writing your issue paper. The assignments are presented and discussed during the tutorials. Clearly, the assignments in themselves are neither an issue paper, nor a proposal. It is your interpretation of the results of these assignments that structures and delineates the problem and reveals the knowledge gaps. It is your task and challenge to translate these findings and especially the knowledge gaps into research questions and to look for the right (research) methods to answer these research questions. The issue paper thus is not a staple through a pile of assignments; it is a report of your problem exploration and can be considered a tender for doing research for an external problem owner. In practice the models and results of your analyses will end up as Annexes to the actual issue paper.

The tutorials

In the tutorials students will present the results of the previous assignment and discuss any problems they encountered in working on the assignment. The assignments themselves are homework, which should be finished and delivered during the tutorials. The assignments provide you with the analytical information required for writing the issue paper. At the tutorial each participant/group hands in a few (max 5) power point slides. These slides should contain the models developed, but the focus should be on the implications of these models on the problem formulation. Each tutorial several groups, chosen by the teachers, will present its work. These presentations should not last longer than 5-10 minutes. After each presentation there is room for discussion of the content of the analysis and the problems encountered while working on the analysis.

Tutorial 1: Problem exploration

Date	Tutorial	Homework	week
<i>Thursday April 9 1345-1530 Wim Crouwel</i>	TUTORIAL 1 – BE/JK rules of engagement and getting started with the case. [NB this first time you don't need to prepare anything but it is worthwhile to browse the internet for information on air quality. • causal diagram • systems diagram • objectives tree	<i>ASSIGNMENT 1 Exploration of the problem and problem environment The use of various methods of analysis (e.g. causal analysis, systems diagram, problem definition and delineation)</i>	15

Assignment 1. Explore the problem area through literature review and internet search. Describe the problem owner's perspective of the problem/his problem definition. The following conceptual modeling techniques will help you define the problem:

1. Distinguish the relevant factors, make a first causal diagram.
2. Make a first system diagram (similar to problem diagram) from your problem owner's perspective.
3. Make an objectives tree (also known as goal tree, but no causal relations allowed) and an objective-means diagram for your problem owner.
4. Adapt/update your systems diagram accordingly and specify factors.

Note that problem exploration is an iterative process of defining and redefining the problem, the system, and the system boundaries.

A practical suggestion is to start with an objectives tree for a specific problem owner and then use the objectives as factors in your first causal diagram.

Ask yourself after completed each model what it means with regard to the problem of your problem owner and whether the model is consistent with the other models. At the end of the problem exploration you should be able to clearly define what the problem of your problem owner is. You may have encountered knowledge gaps and insufficient information about factors and the quality of their relations. Such instances might be the starting points for your research proposal.

Tutorial 2: Causal and systems modeling

Date	Tutorial	Homework	week
Thursday April 16 1345-1530 Wim Crouwel	TUTORIAL 2 – BE/JK Presentation and discussion of ASSIGNMENT 1 results	ASSIGNMENT 2 Actor Network Analysis	16

Assignment 2. Make an actor and network analysis by following the steps in the reader. The new insights gained from the actor/network analyses may lead to changes in your problem definition and to modification(s) of your system diagram. Make these changes and their rationale explicit. You may have encountered knowledge gaps and experiences lacking information; these instances might be the starting points for your research proposal.

Tutorial 3: Actor Network Analysis

Date	Tutorial	Homework	week
Thursday April 23 1345-1530 Wim Crouwel	TUTORIAL 3 – BE/SV Presentation of ASSIGNMENT 2 Actor network analysis	<i>ASSIGNMENT 3</i> <i>Design and detail scenarios</i>	17

Assignment 3 Design a scenario-logic and detail scenarios. The steps for developing scenario's are:

1. Identification of the focal issue or decision.
2. Identification of the key forces and trends in the environment
3. Ranking the 'driving forces' or 'causal factors' by importance and uncertainty.
4. Creation of a scenario-logics, which is the basis for the scenarios
5. Detailing the scenarios (writing a storyline)
6. Assessment of implications

Discussion and brainstorming are helpful techniques for the second step. Try to distinguish between endogenous and exogenous factors and between factors and driving forces or mega trends. Make sure that this is consistent with your system diagram as developed during the previous two assignments.

As we are working with context scenarios we will focus on exogenous factors. Factors that can be influenced by your problem owner are *not* part of such scenarios.

Ranking/prioritizing and selection should deliver at least two but preferably three or more axes for your scenario logic. Motivate why you choose for these axes in relation to the problem and indicate what the scenario stories will be about. Think up a suited name for each scenario. The new insights gained from the scenario analyses may lead to changes in your problem definition and to modification(s) of your system diagram. Make these changes and their rationale explicit. You may have encountered risks and uncertainties and various knowledge gaps; these might be the starting points for your research proposal.

Tutorial 4: Scenario Analysis

Date	Tutorial	Homework	week
Thursday May 14 1345-1530	TUTORIAL 4 – BE/JK Presentation ASSIGNMENT 3	<i>ASSIGNMENT 4 Problem statement, research questions & story line</i> <i>Deadline May 22</i>	20

Assignment 4. Story line, problem statement and research questions

In the previous weeks you have explored the problem of your problem owner by defining the problem, describing the system, analyzing the multi actor context of the system, and exploring the uncertainty with regard to the future. Thanks to all your research and analytical efforts you will have encountered contradictions in problem formulations between actors, knowledge gaps, disputes on system boundaries, all leading to uncertainty and new issues/questions to be resolved.

The insight generated through the different analysis steps will result in a problem statement and overview of knowledge gaps. In a plan of action you will describe how you want to solve (part of) this problem: what are the steps and activities you have to undertake and whom do you have to involve for reaching a solution? In the research plan, which is part of the Plan of Action, you describe the knowledge gaps you have found, you detail the research objectives, the research questions and the methods of your choice for answering these questions. In other words: you describe the intended research effort.

As stated before, a compilation of models does not make an issue paper. In order to prepare yourself for writing the issue paper, you are asked to prepare a story line. A story line specifies the outline of your paper: what will you tell in which chapter, for each chapter what will you tell in each section, for each sections what will you tell in each sub section, what is the point you want to make in each sections, what are the relationships between the different sections, what is your line of reasoning, etc?

Your product is an extended abstract of your envisioned issuepaper (in Word of min 500 and max 1000 words) accompanied by a one page preliminary content of your paper.

Suggested reading: Verschuren, Piet and Hans Doorewaard, 1999. Designing a Research Project, Lemma (Available at Curius and bookstores)

Tutorial 5: Problem Statement, research questions, and story line

Date	Tutorial	Homework	week
Thursday May 28 1345-1530	TUTORIAL 5 – BE/JK Presentation of ASSIGNMENT 4	<i>ASSIGNMENT 5 Issue paper</i> <i>Deadline Monday 16 June</i>	22

Assignment 5 Issuepaper

Based on the feedback on your storyline you write your issuepaper. Your issuepaper is max. 10 A4 text, plus Annexes. The issuepapers should be delivered both in *hard copy* at the secretariat of the section Policy Analysis (Beleidsanalyse), room b3.330, and *electronically* (as MsWord document) in the assignment folder of this course on Blackboard. The papers will be checked for unethical copying by the program ‘turn-it-in’

INDIVIDUAL MEETINGS

Date	Tutorial	Homework	week
<i>Thursday</i> <i>June 4</i> <i>1345-1530</i>	Bert Enserink and Philippe Ker Rault will be available to discuss your draft paper (See Blackboard Announcement)	<i>ASSIGNMENT 5 Issue paper</i> <i>Deadline Monday 15 June</i>	23

Deadline for delivery of your issuepaper is Monday June 15

The written exam is on 25 June 14.00-17.00hrs.