

Public Policy Management:

W3. Policy Making Process

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Week	Main Topics	Key words
1	Introduction to Public Policy	Public policy, goals, decisions
2	Fundamental theories in public policy	Theories, Concepts, framework, model
3	The Policymaking Process	policy process, policy cycle
4	Policy Formulation	brainstorming, lobbying
5	Paradoxes, Dilemmas, and Path-Dependence	coalition, advocacy
6	Policy Planning Process	design, structure
7	Institutional Foundations of Public policy	systems required, systems in place

Recap

- W1 - Introduction to Public Policy Management
- W2 - Theoretical Foundations of Public Policy
- **Outline of the W3: Policy Making Process**
- What is policy making ?
- Policy Making Process (PMP)
- Diversity & complexity in the PMP
- Policy process model: Policy cycle
- Stages in PP process
- Main characteristics of PMP
- Advantages of policy cycle approach
- Recognize or identify the problem

Outline of the W3: Policy Making Process

- Initiation of Agenda Setting; Models of PMP, Formulation of AS, key factors in AS, Risks involved
- Policy formulation
- Policy selection / adoption
- Policy legitimation
- Policy implementation
- Evaluation
- Termination
- Policy change
- Actual policy making
- Summing up

What is policy making?

- Public policies are the outputs of the political system; they come along in different forms, including laws, regulations, or rules.
- Public policy is a more specific term, which refers to a long series of actions carried out to solve societal problems through policy-making.
- However, policy-making is not merely a technical function of government; rather it is a complex interactive process influenced by the diverse nature of sociopolitical and other environmental forces.
- These environmental forces that form the policy context lead to the options in policies and influence on the output and impact.
- The process related to public policy making - core function of democratic politics, involving the explanation and discussion of solutions to economic and societal problems.

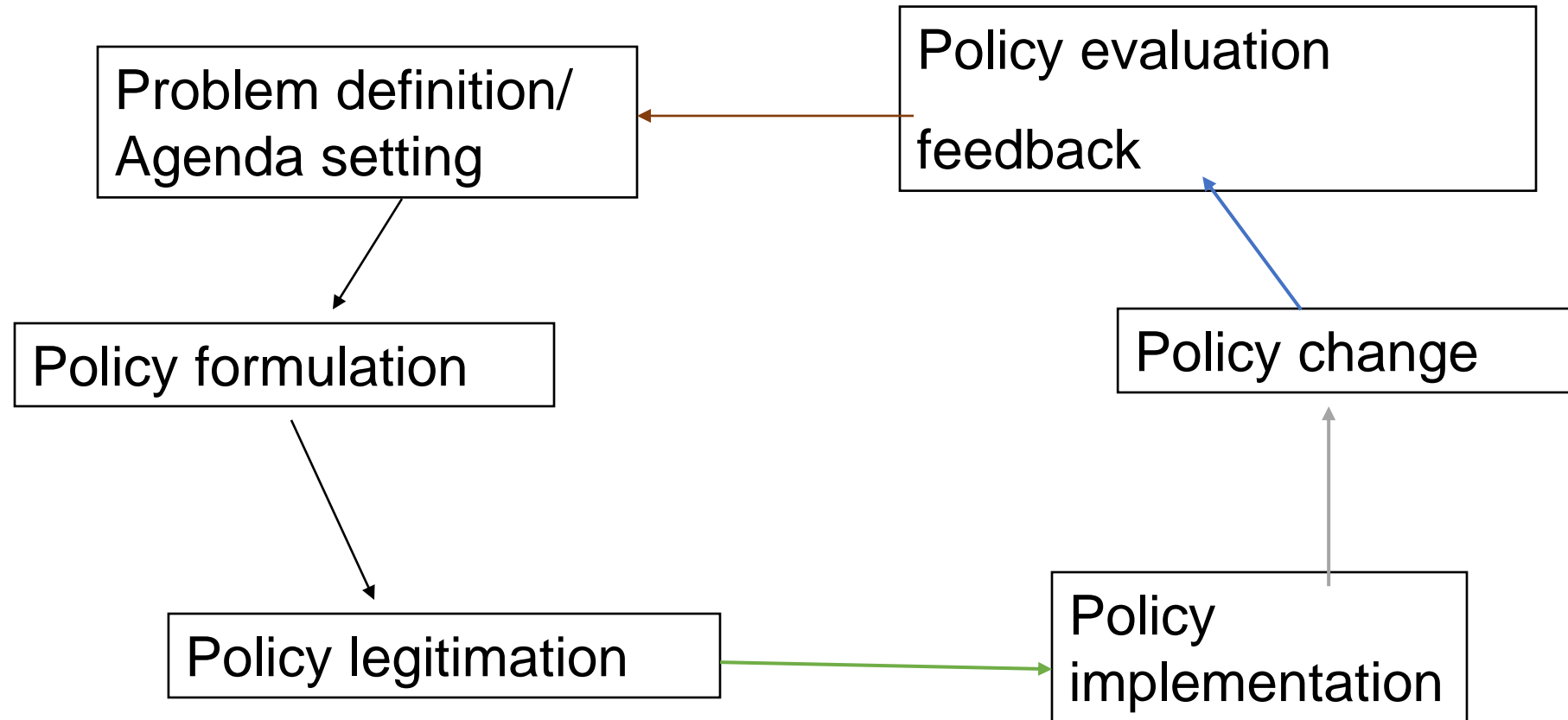
Policy Making Process

- Policy process, which is a shorthand way of designating the various processes and practices by which public policies are formed. There is no single process by which policies are made.
- They do not come off of an assembly line as in automobiles or computers. Variations in the subjects of policies produce variations in the style and techniques of policymaking.
- Foreign policy, taxation, road regulation, education financing, professional licensing, and reform of local government each are characterized by *a* distinguishable policy process—different participants, procedures, techniques, decision rules, etc.
- Policymaking may also vary depending upon whether its primary organizational location is the legislature, the executive, the judiciary, or administrative agencies. Policymaking within administrative agencies is more likely to be characterized by hierarchy, secrecy (or low visibility), and the involvement of experts or professionals than is legislative policymaking.

Diversity and complexity in policymaking processes

- And certainly one will discover differences in the formation of tax policy in the United States, UK, India, African countries, and Mexico.
- This variability does not mean that there are no common functions or elements, still some formulate generalizations on policy formation – somewhat possible - with "theory building" by striving to develop sound generalizations about such topics as who is involved in policy formation, on what sorts of issues, under what conditions, in what ways, and to what effect.
- Also ask about how policy problems develop or obtain a place on governmental agendas. Such questions are not as simple as they may first appear.
- To provide a conceptual framework to guide the examination of the policy process, we view it as a sequential pattern of activities or functions that can readily be distinguished analytically although they may be empirically more difficult to pull apart.
- The following categories or stages are employed.

Policy Process Model: Policy Cycle



Approaches to policymaking process

- Scientific policy studies approach to develop a basic understanding of the policymaking process, which is here viewed as an inherently political process involving conflict and struggle among people (public officials and private citizens) with conflicting interests, values, and desires on policy issues.
- In describing and analyzing the policymaking process, the scientific policy studies approach has three basic aims.
- First, its primary goal is to explain the adoption of a policy rather than to identify or prescribe "good" or proper policy. Analysis, rather than advocacy, is its style.
- Second, it rigorously searches for the causes and consequences of public policies by applying social-scientific methodology, which is not restricted to the use of quantitative data and methodology.
- At a minimum, it does require that one should strive to be rational, empirical, and objective.

Approaches to policymaking process

- Third, this approach aims to develop reliable theories and explanations about public policies and their politics.
- Thus policy studies can be both theoretical and somewhat relevant to the more practical aspects of policy-making. It has been said that nothing is as practical as a good theory.
- Policy process, which is a shorthand way of designating the various processes and practices by which public policies are formed.
- There is not, however, a single process by which policies are made. They do not come off of an assembly line as do automobiles or television sets.
- Rather, variations in the subjects of policies will produce variations in the style and techniques of policymaking.
- Foreign policy, taxation, railroad regulation, healthcare financing, professional licensing, and reform of local government each are characterized by *a* distinguishable policy process—different participants, procedures, techniques, decision rules, and the like.

Approaches to policymaking process

- Policymaking may also vary depending upon whether its primary organizational location is the legislature, the executive, the judiciary, or administrative agencies.
- Policymaking within administrative agencies is more likely to be characterized by hierarchy, secrecy (or low visibility), and the involvement of experts or professionals than is legislative policymaking.
- And certainly one will find variations in the formation of health policy in India, Brazil, China, Cuba, and France.
- This variability does not preclude that there are no similarities across functions.
- Given the multiplicity and intricacy in policymaking processes, the development of some kind of 'general theory' that has broad explanatory power.

Approaches to policymaking process

- Yet we can achieve a useful start toward this "theory building" by striving to develop sound generalizations about such topics as who is involved in policy formation, on what kind of issues, under what circumstances, in what ways, and to what effect.
- Also we can understand how policy problems develop or obtain a place on governmental agendas. There are such questions of relevance to the policy making process.
- Within this simplified framework, the formation and implementation of policies are seen as political in that they involve conflict and struggle among individuals and groups, officials and agencies, with conflicting ideas, interests, values, and information on public-policy issues.
- Policymaking is "political"; it involves "politics."

Approaches to policymaking process

- That is, its features include conflict, negotiation, the exercise of power, bargaining, and compromise—and sometimes such nefarious practices as deception and bribery.
- There is no good reason to resist or disparage this conclusion, or to imitate those who derogate policies that they do not like with such statements as, "It's nothing but politics."
- Although it is sometimes implied or even asserted that if enough analysis were done, if enough facts and data were gathered, all "right-thinking" people would agree on the appropriate course of action to handle a problem, this is not the way the world works.
- Quite reasonable people can disagree on policy issues because they have differing interests, values, and affiliations. Politics is the way a democratic society resolves such differences.
- Anderson, (2003)

Stages in Public Policy Process

- Policy formulation is the first stage in public policy process. Through this process the demands of the system are converted into policies.
- But before this it has to be clearly established as to which demands require to be converted into policies.
- At the policy interpretation stage, the formulated public policy is further clarified and interpreted in order to make it fully understandable. The next stage in public policy process is policy education.
- The government through various channels of mass-media attempts to make the masses aware of the formulation of policies.
- After this comes the stage of policy implementation, when the policies are systematically executed by the different administrative agencies at the central, state and local levels.

Stages in Public Policy Process

- To ascertain the impact of policies, it is very essential to keep an eye on the implementation process, to see that expenditure does not exceed the resources available and to see that policies are positively affecting those for whom they are being made.
- For this proper monitoring of policy implementation has to be done, and policy evaluation stage is the final stage in policy process.
- Proper and appropriate administrative and adjudicative functions are needed for keeping a complete control over the public policies.

Characteristics of policy making

- Basically, three features can be identified.
- Firstly, policy making occurs in presence of *multiple constraints*, e.g. shortage of time and resources, public opinion, and of course the constitution.
- Secondly, policy making involves the existence of *various policy processes*. Governments are no unitary actors but consist of different departments that overlap and compete with each other.
- Thirdly, these policy processes form an *infinite cycle of decisions and policies*. Current policy decisions are not independent of decisions taken before, and policies under discussion today may have 'knock-on effects' leading to further policies tomorrow.

Advantages of Policy Cycle Approach

- The policy-process, called the *policy cycle* approach to policy study has several advantages.
- First, and most important, the policy-process approach centers attention on the officials and institutions who make policy decisions and the factors that influence and condition their actions.
- We need to be concerned about more than the complexity of public problems, the goals of the polity, the general forms policy responses can take, and similar matters.
- Knowledge of these is clearly of value; but we also want to know who makes policy decisions and how they do it.

Advantages of Policy Cycle Approach

- Second, policymaking usually incorporates the stages or categories of activity that is described. Its sequential nature thus helps one capture and comprehend the flow of action in the actual policy process.
- However, in actuality the formulation and adoption stages may blend together, as when proposed legislation on welfare reform is modified during consideration in committees and on the House and Senate floors in order to win votes needed for its enactment.
- Administrative agencies issue rules elaborating policy, as in the case of public-lands policy, while implementing it (details in "Policy Implementation" lecture).
- The adoption of a policy, such as restrictions on abortion, solves a problem for some people while it creates a problem for others, who then restart the policy process in an effort to modify or repeal the disliked policy.
- Even in such instances, the policy-process approach can be used to analytically distinguish the various activities involved.

Advantages of Policy Cycle Approach

- Third, the policy-process approach is flexible and open to change and refinement.
- Additional stages can be introduced if experience indicates that they would strengthen description and analysis. Perhaps budgeting should be recognized as a separate stage of the process.
- Various forms of data collection and analysis, whether quantitative (statistical), historical, legal, or normative (value-oriented), are compatible with it.
- It can be used to study a single policy (e.g., the Americans with Disabilities Act) or to compare the enactment and implementation of several civil rights laws. Group, institutional, and other approaches to policy study can be fitted into it.
- The group approach may help explain policy adoption; institutionalism can cast light on its implementation. Systems theory may help alert us to some of its societal consequences.

Advantages of Policy Cycle Approach

- Fourth, the policy-process approach helps present a dynamic and developmental, rather than static and cross-sectional, view of the policy process.
- It is concerned with the evolution of policy and requires that one think about what moves action on policy from one stage of the process to another.
- Moreover, it helps emphasize relationships, or interactions, among the participants in policymaking. Political parties, interest groups, legislative procedures, presidential commitments, public opinion, and other matters can be tied together as they drive and help explain the formation of a policy.
- Further, one can seek to discover how action at one stage of the process affects action at later stages.
- For example, how does the design and content of legislation ease or complicate its implementation? How does implementation affect its impact?
- Fifth, the policy-process approach is not "culture bound." It can readily be used to study policymaking in foreign political systems. It also lends itself to manageable comparisons, such as how problems reach governmental agendas, or how policies are adopted in various countries
- (Anderson, 2003)

1. Recognize or identify the problem

- What is the problem or issue?
- What will the role of the government be?
- What is the agenda?
- Issues come to the attention of federal government through: interest groups, organizations, court cases, members of Congress, bureaucratic agencies, individual citizens.
- **Challenge:** differing opinions and priorities
- systemic agenda vs. the institutional agenda. The systemic agenda refers to all societal problems that demand public attention, hence forming the 'discussion agenda'.
- The institutional agenda contains a set of problems that are up for the serious consideration of decision makers. Thus, it is the 'action agenda'; more specific and concrete than the systemic agenda.

Which problems receive attention to become a PP?

- There are many problems in our communities that need to be solved. Relatively few identified problems receive attention
- Some problems may readily be dealt with by actions taken in the private sphere (individuals and families) or by our civil society (social, economic, or political associations or organizations).
- Setting the agenda is an important source of power as is it is policy consequential, i.e. legislative institutions grant an advantage to the first movers as compared to the second movers.
- The factors determining whether an issue reaches the agenda may be cultural, political, social, economic or ideological.
- However, the disadvantaged groups need to expand the 'scope of conflict' if they want to gain access to the agenda.

Why Do Some Problems Receive Attention?

- Problems-- that become an agenda item
- Issues that government officials and/or the public focus on (fuel economy, clean air, unemployment)
- Issues mandated by law and/or commonly monitored (annual reports to Govt., child vaccinations, education outcomes, international events)
- Focusing events: the covid 19, climate change brought attention to Govt's preparedness for the health pandemic

Policy Formulation begins with Problem Definition

- Can the problem or problems be defined?
- What is the major problem or problems that need to be solved?
- Is there agreement on the basic problem or problems?
- More often than not, agreement is lacking or disputed.

2. a. Initiation of Agenda Setting

- *Policy cycle* starts when government pays serious attention to a particular issue.
- Why does government pay attention to some issues and not others?
- There are always more problems than there is time or political will to address
- New information does not in and of itself place an issue on the agenda. Often some sort of political propellant that attracts political sponsors and public/media attention
- Focus at this stage of the process is on problem definition

Two types of agendas

- *Institutional, governmental, or official agenda*: Those that government acts on.
- Institutional agenda are those problems that legislators or public officials feel obliged to take appropriate measures
- Congress, the President, or Courts can initiate official agendas at the federal level
- Policy makers respond to popular demand (pluralist model) or it is set by those at the top of political/economic hierarchies (elitist model)
- The governmental agenda can also be a graveyard for public problems – relatively few issues survive this stage of the process
- *Systemic or noninstitutional agenda*: Those on which action is often delayed.
- Systemic agenda are the set of issues that the political communities see as meriting attention by the public.
- These issues don't always get acted upon. This involves moving an issue to the governmental agenda – the set of items up for active and serious consideration by decisionmakers

Models of PMP: Pluralist vs. Elitist models

- *Pluralist model* argues that policy makers determine the institutional agenda in response to widespread popular demand. More concerned with how policy concerns reach the agenda
- Issues must have the following characteristics to be elevated on institutional agendas
 - Specificity
 - Social significance
 - Temporal relevance – short vs. long-term relevance
 - Simplicity – easily understood
 - Categorical precedence – matters that are routine are more likely to take precedence than issues that are unique
- *Elitist model* argues that those situated at the top of political and economic hierarchies set the institutional agenda.
- Focuses on who sets the agenda. Elites include political officials, corporate representatives, interest groups, and other influential people and institutions.

Models of PMP: Pluralist vs. Elitist models

- Two views of agenda setting
 - Elites can randomly select issues, choose issues they specialize in, or observe hierarchies like congressional committee structure
 - Society's elites select issues that serve their own interests because the public is by and large apathetic
- *Iron triangle or sub governmental model* of agenda setting
- Closely related to elitist model
- Political elites sit at the top of the triangle and at the base are those who dominate agenda setting – special interests and administrators
- Assumes a stable coalition of players in the policy-making process but obviously others have influence such as think tanks, journalists, academics, etc.

Models of PMP: Garbage can model

- Argues that policy making environment represents more of an organized anarchy where decision makers satisfice (satisfactory and sufficient) rather than seeking optimum decision
 - Problems looking for decision situations
 - Solutions looking for problems
 - Decisionmaker looking for work
- *Agenda setting* is often aided by “triggering” or “focusing events” (e.g., discovery of the ozone hole, 9/11, tsunami, etc.) that are then defined in action terms by policy entrepreneurs
- A focusing event or window of opportunity is usually a sudden or unexpected change that may invite media coverage and public concern, excitement, or curiosity

Models of PMP: Garbage can model

- The public and decisionmakers are often moved to the point where immediate action is demanded
- The media can play an important role here
- Policy entrepreneurs exploit these focusing events to identify problems and propose solutions
- Framing the problem and policy response is important to continue attracting media attention and to build coalitions around the policy problem or response

2.b. Formulation of Agenda Setting

- Agenda Setting: how does an issue get on the political agenda?
- The recognition that an issue is a significant public problem
- Development of proposals for possible solutions to the problem
- Appropriate Political Circumstances—public Attitudes—interest Group Attitudes—leadership Attitudes (“Policy Entrepreneurs”)
- Related/Competing Agenda Items
- “Policy Without Politics Is Like Architecture Without Engineering”
- http://www.urbanchildinstitute.org/sites/all/files/2006-09-Health_Policy_Forum-Mirvis.pdf
- **Challenges:** different solutions proposed by different individuals, groups, organizations. Reaching a compromise on both sides.

Four types of Issue Agendas

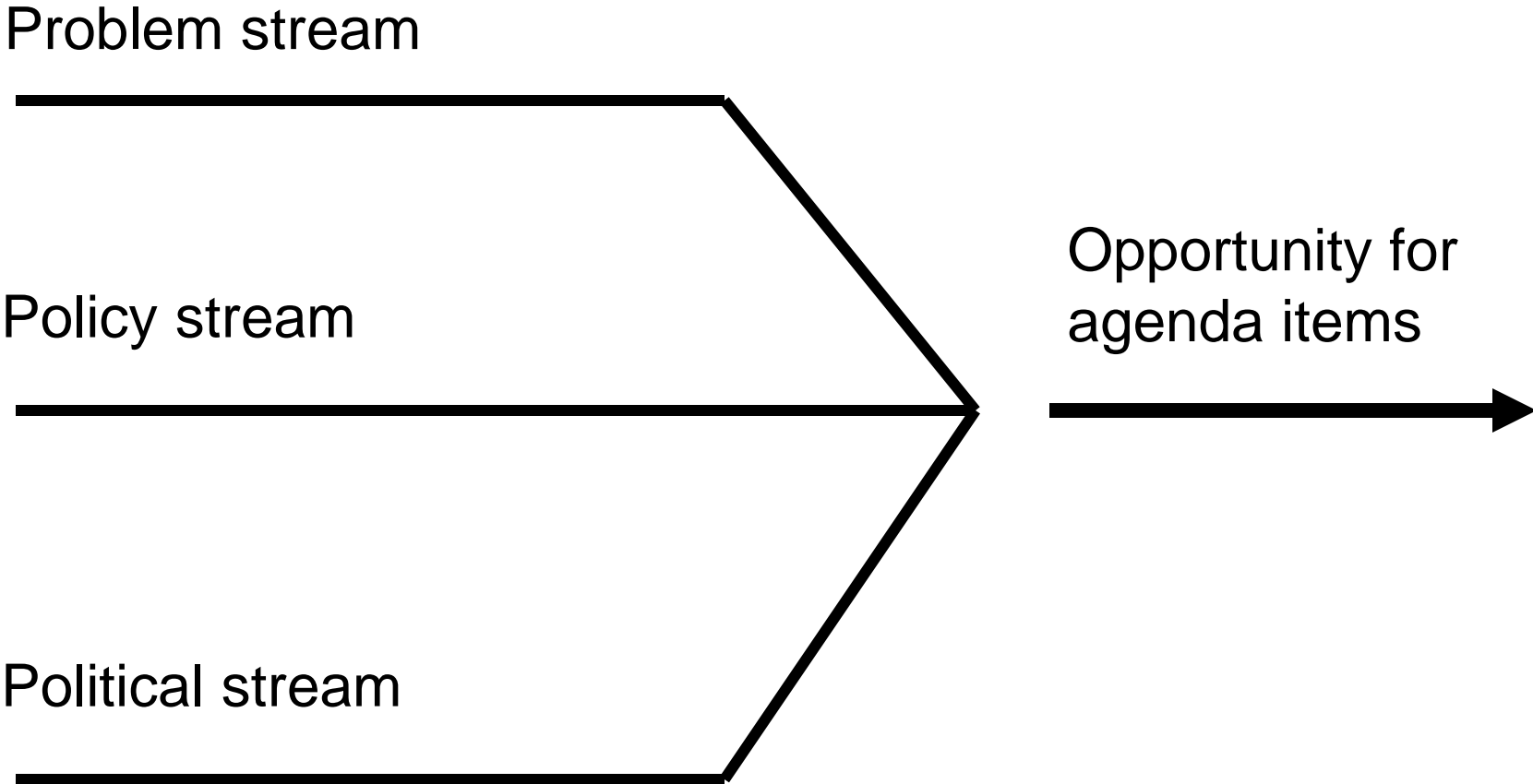
Agendas can be classified in four groups...

- periodically recurring issues
- sporadically recurring issues
- crisis-based issues
- new or “chosen” issues

Agendas as Political Power

- Establishing the agenda means control over policy
- Political power can be used to alter the agenda
- Political power can be used to keep issues off the agenda

Agenda Setting



Setting the Policy Agenda

- The policy agenda is set by four types of actors: (1) public officials, (2) the bureaucracy, (3) the mass media, and (4) the interest.
- Elected public officials, e.g. the president, the parliament, the ministries and courts, are the most obvious agenda builders since their position enables them not only to make policies, but also to place certain issues on the agenda.
- However, actual agenda-setting is related to the larger political game in terms of power and the intensity of ideological conflict both within and between the (coalition) government and parliament.

Getting on the Political Agenda

- Political Agenda -- a set of issues thought by the public or those in power to merit action by government.
- Questions to consider when determining the “legitimacy” of an issue:
 - Current political values
 - Weight of custom & tradition
 - Impact of events

“Agents” in the policy making process

- Who makes policy?
 - Congress, the President, the bureaucracy
- Who influences policy?
 - Interest Groups
 - Political elites & the general public
 - state and local governments
 - The mass media

Gov't Institutions Influence Policy

- The Courts and the bureaucracy have become more important in making policy in recent years.
- Why do you think this is the case?

Who designs or writes policies?

- Public bureaucracy—govt. agencies
- Select committees
- Think tanks
- Interest groups—generally very important
- Members of Parliament and their staffs

Media Influences Policy

- A direct correlation exists between amount of media attention devoted to an issue AND the political attention given to that issue by the government.

Key Factors in Agenda Building

- Is the expansion or subtraction of issues that can be linked to the lead issues under consideration
- Add differentially valued, unrelated issues
- Add side payments to gain political support or reduce opposition
- Add issues to exploit their interdependencies
- Add issues to reduce likelihood of agreement if you want to reduce chances for passage

Policy entrepreneurs can help shape agendas and serve as catalysts for policy change

They can be:

- scientists themselves who personally lobby politicians
- perform a “cross-pollinating” function by getting scientists and policymakers together
- Be a national political leader (e.g., Al Gore) or symbolic leader
- Be NGOs who skillfully build coalitions and influence public opinion

Risks involved in Agenda Setting: Policy Saboteurs

- *Policy saboteurs* - who work specialize in the formation of blocking coalitions and often seek to manipulate public opinion as well
- Distribution of costs and benefits helps shape agenda setting
- If benefits and costs are diffuse they fall on a large number of people who do not belong to a well defined group
- If benefits and costs are specific they affect a single group which bears the favorable or unfavorable outcomes
- Four conditions in this typology
 - Costs diffuse/benefits diffuse (e.g., educational reform) = inaction
 - Costs diffuse/benefits specific (e.g., pork barrel projects) = likely acceptance
 - Costs specific/benefits diffuse (e.g., gun control) = likely rejection
 - Costs specific/benefits specific (e.g., new airport) - Conflict

3. Policy Formulation or Estimation

- Once an agenda attains institutional status, specific policies must be formulated.
- While policy Estimation or Policy Formulation analysts are involved in each stage of the policy cycle, their involvement is most critical in the phases of policy formulation, implementation, and evaluation
- This involves setting goals, creating specific plans, and selecting the means to accomplish the goals
- Policies tend to provide positive or negative incentives
- Policies modify behavior by changing rules or providing information
- Policies may give rights or take rights away
- Policies may shift power over the agenda to a specific agency

3. Policy Formulation or Estimation

- In order to formulate policy we must have a behavior model that makes assumptions about human nature
- We assume individuals are bounded rational actors who pursue their own self interest
- This stage is concerned with predetermining risks, costs, and benefits associated with each possible option.
- It also requires coming to grips with the complexity of a system and its consequences
- Overlapping interactions among numerous elements, positive and negative feedback loops, nonlinear relationships, and continuous structure changes inhere in social systems.
- Our limited intellectual apparatus prompts us to search for simple and regularly ordered regularity, which arguably doesn't exist. Our images are poor proxies for reality and our analyses frequently reflect these defective images.

Policy Formulation or Estimation

- With increased complexity comes increases in the number and diversity of system interpretations in part because of the biased and distorted views affected individuals bring with them to the problem context
- Because of their complexity, social systems are capable of producing problems neither expected nor results intended
- A principle focus at this stage is on figuring out ways to reduce complexity.
- This is where rational techniques such as c/b analysis, risk assessment, impact assessments, etc. prove useful.

3. Estimation or Policy Formulation

- Other techniques would include preparing issue papers and other policy relevant forms of information that are more qualitative in nature
- The problem with most estimation activities, particularly those founded on the rational philosophies, is that these methods require projecting order on a problem
- This requires that there actually is an optimal solution to the problem
- It also requires assuming that the problem is constructed properly
- Policy analysts play a major role during this stage of the process

4. Policy Adoption or Selection

- Policy adoption comes at the end of the formulation process and is a well defined observable conclusion to the policy formulation stage
- Refers to the fact that someone (or group of people) may eventually make a decision and create “policy”
- Once the policy analyses are complete, they are sent to official decision making bodies that typically enact legislation or take steps that legitimize the decision
- In the policy analyst’s ideal world, their recommendations would be seriously discussed and policy makers would pick from among the alternatives they identified and analyzed
 - In the real world, this information and recommendation is but one source of information to the process
 - Negotiation and bargaining may lead to quite different decisions
 - Self interest and the ideology of decisionmakers will also influence decisions

4. Policy Adoption

- What course of action will the government ultimately take?
- Will it be new legislation or an executive order?
- **Challenge:** It's a time consuming process. Adoption of policy takes considerable amount of time, process can be difficult and often times controversial.

How are Policy Options or Solutions vetted?

- Technical Feasibility/costs
- Consistency with community values
- Support from important groups
- Anticipation of future problems or constraints
- Debates between the political parties

Example: Welfare Reform

- Problems Identified and Debated
- Increases in the number of unemployed people on welfare
- Welfare reform in the PNG
Context: Sorcery reform

5. Policy Legitimation

- Consequently, answers are needed for such questions as:
- What is the legislature's role in policymaking?
- How does its structure affect decision-making?
- What sorts of factors or considerations influence the legislator's decisions?
- The policy-process approach not only helps us learn about policymaking and policy, it also causes us to take a more holistic view of how government works.

- Once created, policies must be invested with authority by formulating statutes, policy documents, plans, executive orders, etc.
- They also have to be legitimized
- To obtain public acceptance of new policies you may hold hearings, allow public comment or other administrative procedures, or use voting

5. Policy Legitimation

- Policy has a better chance of being implemented as intended if it is considered to be legitimate
- It is legitimate if:
- Citizens agree that government action is required and appropriate—but there might be a lot of disagreement

Limits on Discretion

- Administrative Procedures passed into law limit the authority of implementing agencies
- Govt. and the executive branch establish oversight procedures and requirements

Things to keep in mind about the policy making process...

- Public policies are **constantly changing**- reshaped, modified, changed, rejected for new policies.
- Public policy must be inferred from **actions and behavior** of many government agencies and officials involved **over time**.
- Policy is **a process**, not something that can be determined by a single event or decision.
- Policy is **complex, takes place on multiple levels**- national, state, local.
- There will be **winners and losers** in the policy making process.

- **Who's involved? Very fragmented in the govt. system.**
 - Members of Parliament
 - Executive/Bureaucracy
 - Government Staffs
 - Interest groups
 - Judiciary

6. Policy Implementation

Activities that put policies into effect

- Passing the required laws
- Formulating rules and regulations
- Allocating a budget
- Setting deadlines
- Assigning enforcement or implementation authority

- How will the new policy be applied to real situations?
- How will the government make sure the general public will know about them?
- What are the consequences for individuals, states, organizations that do not follow the new policy?
- Challenges: uniformity and equal application of the law to all levels of gov't

Implementation often Involves Delegation

- The implementation or carrying out of policy is most often accomplished by institutions other than those that formulated and adopted it.
- To carry out the policy agencies may delegate power to other government entities or even private subcontractors.
- Delegation of Authority Occurs when:
- Government confers upon an administrative or private subcontractors rulemaking power that it could exercise itself.

Delegation of Authority -- What is it?

- Delegation of power refers to actions whereby a legislature confers upon an administrative agency certain tasks and powers the legislature would and could itself exercise if that were not impracticable (Lowi, 1979; pp. 92).
- Important constitutional issues -- traded separation of powers for a system that concentrates power to one branch that is more remote from popular control.
- Govt. has substituted the principle of due process (opportunity to participation) to rationalize the delegation.
- Govt. has substituted procedural requirements to compensate for substantive failings.

Oversight of Policy Implementation Includes

- Appointment Power
- Budgetary Power
- Reorganizations
- Guidelines for Enforcement
- Executive Orders
- Required evaluations

- Committee Hearings
- Budgetary Power
- Investigations (General Accounting Office)
- Informal (phone calls, letters, etc.)
- Enactment of a statute
- Deadlines

6. Implementation

- Policy implementation refers to the connection between the expression of governmental intention and the achievement of results in the world of action
- Adopted policies almost never specify exactly what is to be done so the impact of a policy often depends on how it is implemented.
- Policies are frequently reformulated during the implementation process.
- Sometimes good policies are weakened, other times the policy's defects are corrected
- The execution of the selected option may only bear a faint resemblance to the analysts orderly recommendations
- Often this leads to frustration on the part of an analyst who sees the policy transformed by the implementation process

7. Evaluation

- It is not until this stage of the process that the world changes or is altered in some way as a result of a policy
- The formal and informal coalitions or “advocacy coalitions” that shape the institutional agendas are still present and try to shape and influence implementation decisions and the policy changes that occur during the stage of the process
- **Evaluation:**
- Policy analysts exercise primary responsibility over this stage of the policy cycle where they examine the potential impacts of an adopted policy
- It asks what policies and programs were successful or unsuccessful on several levels
 - Outputs of a government program
 - Performance evaluations that gauge the impact or outcomes on specific target groups
 - Look at feedback and other measures of a program’s processes

Policy Termination: 3 basic options

- Termination (start over)
 - It concerns the termination of policies, programs, or organizations that have become dysfunctional, redundant, outmoded, or unnecessary
 - Often neglected step of the policy process
 - Variety of obstacles to termination, many of which are institutional
- Continuation (justification)
 - Evidence is gathered that is used to justify the policies continued implementation
- Adjustment (policy change)
 - Evidence is gathered that supports some modification in the policy
 - New policies may be added to or subtracted from the existing policies over time and its scope and influence may expand or contract
 - Adjustments will typically occur in the peripheral aspects of a policy rather than in its core

Policy change

- Policy adjustment and change continues beyond policy implementation
- Adopted policies confront real world problems or interest group pressure, client complaints or demands, legal challenges, and changing financial conditions
 - Once a policy is formulated, it may be continually reformulated.
- If you look over the life of a single policy it is constantly shaped and reshaped by
- Incremental changes in society smooth out the rough edges of implementation
- New statutes contradict or invalidate parts of policy
- Lawsuits and court challenges
- New technology changes feasibility
- New discoveries or revelations change level of public support

Policy change

- Political, social, economic circumstances change
- Elections and changes in political ideology
- Patterns of policy change
 - Linear – one policy is replaced by another
 - Consolidated – programs with similar goals are combined
 - Split – agency or program grows too large and is broken into smaller components
 - Nonlinear – changes prompt drastic or major policy changes

Actual policy making

- Actual policy making tends to formulate policies in vague and elastic terms; because the future is so uncertain.
- It permits policy makers to adjust their policy according to emerging facts and enables them to guard against unforeseen circumstances.
- **Mainly Formulated by Governmental Organs** : Public policy is also directed, in part, at private persons and non-governmental structures, as when it calls for a law prohibiting a certain type of behavior or appeals to citizens to engage in private saving.
- But public policy, in most cases, is primarily directed at governmental organs, and only intermediately and secondarily at other factors.

Actual policy making

- **Aims at Achieving what is in the Public Interest** : However difficult it might be to find out what the "public interest" may comprehensively refer to, the term nevertheless conveys the idea of a "general" orientation and seems therefore to be important and significant.
- Furthermore, there is good evidence that the image of "public interest" influences the public policy making process and is therefore, as conceived by the various public policy making units, a "real" phenomenon, and an important operational tool for the study of policy making.

Actual policy making

- **Use of Best Possible Means:** In abstract terminology, public policy making aims at achieving the maximum net benefit. Benefits and costs take in part the form of realized values and impaired values, respectively, and cannot in most cases can be expressed in commensurable units.
- Often, quantitative techniques can therefore not be used in this area of public policy making but neither the qualitative significance of maximum net benefits as an aim nor the necessity to think broadly about nor the necessity to think broadly about alternative public policies in terms of benefits and costs is therefore reduced
- **Involvement of Various Bodies / Agencies:** Industrial workers, voters, intellectuals; legislators, bureaucrats, political parties, political executives. Judiciary, etc. are the various organs that participate in public policy making and can influence the policy process to a great extent.

Considerations in the making of PP

- *Public policy* is a course of government action or inaction in response to public problems. It is associated with formally approved policy goals and means, as well as the regulations and practices of agencies that implement programs. It is not made in a vacuum but rather is influenced by
 - Social and economic conditions
 - Prevailing political values
 - Public mood at any given time
 - Structure of government
 - National and local cultural norms
- *Policy outputs*: the formal actions that government takes to pursue its goals
- *Policy outcomes*: the effects such actions have on society

To sum up: Stages of public policy

- Problem identification and definition
- Agenda setting
- Policy formulation
- Policy adoption
- Policy legitimation
- Policy implementation
- Policy evaluation
- Policy change

References:

- Anderson, J. E. (2003). *Public policymaking*,. Boston: Houghton Mifflin Company, pp. 1 – 34.
- Christoph Knill and Jale Tosun: Policy Making. In: Daniele Caramani (ed.), *Comparative Politics*. Oxford: Oxford University Press, 2008, pp. 495-519.
- Mark T. Imperial, Introduction to Public Policy Analysis: Policy Process, available at http://people.uncw.edu/imperialm/UNCW/PLS_304/PLS_304_Lecture%20Notes_Policy%20Process.pdf

Some basic terms and concepts

- *Separation of powers*: federal constitution grants each branch of government specific but overlapping legal authority
- *Federalism*: sharing of authority between a national and subnational level of government
- *Policy actors*: many different players in the policymaking process
- *Policy*: purposive course of action that an individual or group consistently follows in dealing with a problem. Various elements of a policy include:
 - Intentions: purposes of government action
 - Goals: stated ends to be achieved
 - Plans or proposals: means for achieving goals
 - Programs: authorized means for pursuing goals
 - Decisions or choices: specific actions that are taken to set goals, develop plans, and implement and evaluate programs
 - Effects: the effects that programs have on society, whether intended or unintended

Some basic terms and concepts

- *Public policy* is a course of government action or inaction in response to public problems. It is associated with formally approved policy goals and means, as well as the regulations and practices of agencies that implement programs.
- It is not made in a vacuum but rather is influenced by
 - Social and economic conditions; Prevailing political values; Public mood at any given time
 - Structure of government; National and local cultural norms
- *Policy outputs*: the formal actions that government takes to pursue its goals
- *Policy outcomes*: the effects such actions have on society
- *Economic rationality or rational actor model*: Assumes that human beings are guided only by the prospect of individual profit or other forms of utility.
- Political scientists from the public choice perspective often adopt this assumption although many use a looser definition of this utility maximization function.
- People choose the course of action that yields the maximum net gain.

Enjoy this animation on Policy making process

- <https://www.youtube.com/watch?v=aLUbviQoef8>



Also included in the end of my week4 lecture video

What next?

Public Policy Formulation