

Public Policy Management: W4. Public Policy Formulation

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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
- W3: Policy Making Process
- **Outline of the W4: Public policy formulation**
- What is Policy Formulation?
- Actors involved in Policy formulation
- Policy Adoption
- Policy Formulation
- Techniques Involved in Policy Formulation

Outline of the W4: Policy Formulation

- Cost-benefit Analysis;
- Economic Forecasting;
- Operations Research and Systems Analysis; and
- Planning, Programming, Budgeting System (PPBS) Approach, etc
- Agencies Involved in Policy Formulation
- Informal Channels of Policy Formulation: individual citizens, NGOs, CSO, Media, political parties, etc
- Attributes of a Good Policy Formulation Process
- **A Critical Look at Policy Formulation:** Two Complementary Roles: Analyst and Decision Maker

What is Policy Formulation?

- Policy formulation – involves the definition, discussion, acceptance or rejection of feasible courses of action for coping with policy problems.
- Generally, policy formulation is strongly related to policy adoption – the subsequent stage here – however a clear-cut distinction between them is often impossible.
- Presented them separately since they still refer to different stages.
- Policy formulation deals with the *elaboration of alternatives of action*, whereas policy adoption refers to the formal adoption to take on a policy.
- Hence, policy formulation implies the definition of policy objectives and the selection of the most appropriate policy instruments as well as their settings (Hall 1993).

What is Policy Formulation?

- It takes place within the broader context of technical and political constraints of state action.
- The political constraints can be either substantive or procedural.
- Substantive constraints refer to the nature of the problem, while procedural constraints are about procedures involved in adopting a policy adoption.
- These procedural constraints are related to both institutional and tactical constraints

Actors involved in Policy formulation

- Policy formulation occurs in government bureaucracies; interest group offices; legislative committee rooms, meetings of special commissions; and policy-planning organizations otherwise known as “think tanks”.
- The details of policy proposals are usually formulated by staff members rather than their bosses, but staffs are guided by what they know their leaders want ’ Thomas R. Dye (2005).
- But basically policy formulation brings the relationship between executives and legislatures into the forefront.
- There are in fact good reasons to believe that there is a dominance of executives over legislatures and parties.

Actors involved in Policy formulation

- Executives can rely on more resources than parties and their representatives in the legislature.
- However, policy formulation can rather be conceived as a more or less informal process of negotiation between ministerial departments and interest groups (Jann and Wegrich 2006).
- Also it is of bargaining among different actors for policy formulation.
- Another aspect of policy formulation refers to the impact of policy advice and scientific knowledge –
- For being able to influence policies, think tanks can only rely on the generation of ideas to policy problems.
- Thus, in contrast to interest groups that also offer resources, think tank merely operate by using communication.

Policy Adoption

- In contrast to preliminary stages of decision-making, the final adoption of a particular policy alternative is determined by government institutions. The adoption of a policy option is determined by a number of factors.
- Of these, two sets of factors are of major relevance:- (i) the set of feasible policies can be reduced by the necessity to build majorities for the approval of a policy option, which implies considerations about values, party affiliation, constituency interests, public opinion, deference, and decision rules (Anderson 2003).
- Another important decision criterion is given by the expected costs and benefits of a policy proposal for the constituency.
- (ii) Second set of factors refers to the allocation of competencies between the actors involved in policy making. Cross-national research concludes that the type of state organization, whether federal or unitary, affects the success, speed and nature of governmental policy-making.

Policy Adoption

- Interest groups play a major role in policy formulation as they often work with executive and legislative officials to develop a policy draft. Interest groups may play a big part in formulating legislation about complex and technical issues, and when government institutions lack time and staff to cope with such matters (Anderson 2003).
- In analyzing this aspect of the policy-making process, 'veto players' is particularly useful.
- In presidential systems, 'divided government' can impede decision-making as there are generally insufficient incentives for political parties to cooperate and build policy-making coalitions.
- But also other states are prone to his kind of constraint.

Policy Formulation

- Policy formulation is an important phase devoted to ‘generating options about what to do about a public problem’ (Howlett 2011), and is inherent to most, if not all, forms of policymaking.
- If the agenda- setting stage in the well- known policy cycle is essentially concerned with identifying where to go, the policy formulation stage is all about how to get there (Hill 2009).
- If policy formulation is ‘a process of identifying and addressing possible solutions to policy problems or, to put it another way, exploring the various options or alternatives available for addressing a problem’, then developing and/or using policy formulation tools is a vital part of that process (Howlett 2011).

Policy formulation

- Much more than for other policy stages, it is very hard to conceive of policy formulation – without thinking in **terms of tools**.
- Policy formulation is quite a critical phase of the policy process.
- The success or failure of a policy depends mainly upon the policy designs and policy formulation processes.
- Policy formulation involves the process of identifying and crafting a set of policy alternatives to address a problem and narrow down the alternatives to arrive at a final policy decision.
- According to Cochran and Malone, policy formulation takes up the “what” questions:

Policy formulation: What questions

- What is the plan for dealing with the problem?
- What are the goals and priorities?
- What options are available to achieve those goals?
- What are the costs and benefits of each of the options?
- What externalities, positive or negative, are associated with each alternative?”
- As Dye puts it, policy formulation takes place in government bureaucracies, in interest group offices, in legislative committee rooms, in meetings of special commissions, in think tanks with details often formulated by staff.

Techniques Involved in Policy Formulation

- Various techniques are involved in reaching sound and rational policy decisions and in converting policy proposals into policy.
- A variety of techniques and tools are used for improving and enhancing the policy formulation process.
- Some of the popular techniques include:
 - Cost-benefit Analysis;
 - Economic Forecasting;
 - Operations Research and Systems Analysis; and
 - Planning, Programming, Budgeting System (PPBS) Approach.

Cost-benefit Analysis

- Cost-benefit analysis is a very useful technique which is used in the fields of economics, mathematics, statistics, operations research, etc.
- This technique is of great help to the policy makers while framing specific policies and offers advice on the formulation and development of public policy.
- The costs of a policy or programme are calculated and set against the benefits it can offer.
- Thus the potential benefit of the policy is calculated.
- This technique helps the policy maker to opt for a policy or programme which offers the maximum net benefit.
- However, critics argue that everything cannot be quantified.

Economic Forecasting

- Forecasting models were developed by the Organization for Economic Cooperation and Development (OECD) in the 1960s and 1970s in order to forecast trends.
- Most governments have a model of the national economy which is used to show the impact of policy changes on the economy.
- Such models have a strategic role to play in formulating economic policies.
- With the information and knowledge that is available, this model brings out various assumptions and suggests alternatives to try out.

Economic Forecasting

- For example, if the government likes to know ‘what would be the effect if the income of informal economy increases by 2 per cent?’ such a forecasting model would be helpful to the government in choosing the policy alternative.
- The forecast might come up with various assumptions like it would contribute to economic welfare, growth of the individual or improved standard of living, etc.
- Thus, forecasting helps in justifying policy and expenditure plans and is also useful to explore various policy alternatives.
- However, it should also be noted that forecasting may not be accurate at all times.

Operations Research and Systems Analysis

- Operations Research (OR), Systems Analysis and Decision Analysis are other important techniques in policy formulation.
- These techniques according to Dror, share the following characteristics:
 - *A bias for action and improvement;*
 - *The values of 'rationality' and 'efficiency';*
 - *Utilization of quantitative models; and*
 - *Holistic view and examination of all relevant variables.*

Operations Research and Systems Analysis

- The purpose of the OR approach is to help policy makers to determine policy and actions in a scientific manner.
- These techniques help a policy maker to choose a course of action by investigating the problem and selecting the alternatives in the light of their consequences.
- They have a wide application in government, especially in health, social services, law enforcement, etc.

PPBS Approach

- The Planning-Programming-Budgeting System (PPBS) was first adopted in the US in the 1960s both for increasing administrative performance and for improving the policy making process in the military field.
- The technique of PPBS was promoted as a means for improving policy making and performance throughout the national government mechanisms.
- This was helpful in designing the budgeting and policy making.

PPBS Approach

- The overall purpose of PPBS was to create rationality in the budgeting process, by requiring administrators to plan long range organizational goals and establish programs to attain the goals.
- With the use of PPBS, the budgeting process is evaluated at every step. PPBS enables a thorough examination of goals related to a policy or program.
- Then, analysis of alternatives is made to find the most effective way of achieving program/policy objectives at least cost.
- Thus, PPBS tries to review the outcome of the policy/program at every stage.

Approaches/Models of Policy Formulation and Development

- There are various models or approaches to the process of policy formulation and development. Before focusing on the approaches or models of policy formulation, **it is critical to understand what an 'approach' is and what a 'model' is.**
- While an approach is a broad framework to understand a theme or a subject, a model is a well constructed concept.
- Various approaches and models have been developed by policy scientists in order to simplify the policy formulation process.
- Approaches/ Models are thus helpful to clarify our thoughts about policy formulation and to develop the relevant knowledge of policies.
- Some of the approaches/models of policy formulation include the following: Rational, Incremental, Group Theory, Institutional, Game Theory and Systems models.

Rational Model

- The Rational Model of Policy Making is also called the Decision Making Model.
- Under this model, the rationality principle emphasizes that policy formulation is making a choice among policy alternatives on rational grounds.
- Rational policy making is “to choose the one best option”.
- This model argues that in order to formulate effective policies, policy makers should be rational and the model suggests five steps to be followed in policy making, as put forward by Dror.

Rational Model

- The steps prescribed by Dror include:
- Identification of society's value preferences and their relative weights;
- Finding of policy alternatives that are available;
- Evaluation of the consequences of each policy alternative;
- Calculation of the ratio of benefits to costs for each policy alternative; and
- Selection of the most efficient policy alternative.

Rational Model

- Herbert Simon, whose name is associated with this rational model, talks of three kinds of activities included in policy making processes: *intelligence activity, design activity and choice activity.*
- The intelligence activity searches the situation calling for a decision.
- The design activity identifies, develops and analyzes possible courses of action.
- The chosen activity deals with selecting a particular course of action from those available.

Incremental Model

- The Incremental Model to Policy Formulation was put forward by Charles Lindblom, in his book 'Policy Making Process'.
- Of all the models, the Incremental Model is popular because of the fact that it fits well with what actually goes on in government.
- Policies generally have societal character, since they determine the fate of people.
- For this reason any policy should not be formulated on a larger scale without understanding its repercussions.
- Hence, Lindblom has proposed the Incremental Model of Policy Making.
- According to Lindblom, no policy maker or government would like to formulate a new policy.

Incremental Model

- If at all the policy maker wants to formulate a new policy, she/he would not do it on a larger scale.
- So policies are introduced on a smaller scale in the beginning and then they are expanded gradually.
- Under this model, Lindblom states that the policies are expanded slowly and steadily, after knowing the workability and feasibility of the policy.
- The Incremental Model is widely used in a democracy.
- However, the incrementalism has been criticized on the ground that the problems being encountered by the governments are so crucial and critical in nature that the changes brought in the policies through incrementalism are not sufficient enough to cope with existing realities.
- Dror criticizes this model, stating that ‘the most harmful effect of the incremental change argument is that it paralyzes efforts and thus tends to be a self-fulfilling prophecy’

Group Theory Model

- The Group Theory Model was put forward by a Japanese sociologist, Gaetano Mossaco.
- Group theory is an approach which seeks to maintain equilibrium in the society, balancing the interests of various groups.
- According to this theory, public policy is a product of group struggle.
- Individuals having common interests and demands join hands together and form formal or informal groups, in order to influence the policies of the government to suit their needs.

Group Theory Model

- On the basis of the equilibrium reached in the struggle of various groups in the policy process, public policies are formulated.
- Policy formulators succumb to the pressures of the dominant groups through bargaining, negotiating and compromising.
- Thus, in the process of group struggle, the demands and desires of the pressure groups enter the government arena and policy is formulated.

Elite Theory Model

- According to this model, public policies are formulated as per the preferences and values of the elites.
- This model postulates that a society is divided into a few segments – those who have the power and those who do not have it.
- Policy in this social set up is not determined by the people or the masses.
- The ruling elite i.e. the political executive decides the policy and this is finally carried out by the bureaucrats who form part of the next segment of the elites.
- Thus, according to this model, the policies tend to flow from the top and do not move up from the bottom.
- Every society has elites competing with each other for power which ultimately paves the way to formulating public policy.

Elite Theory Model

- Thus, the elite theory explains that competition to influence policy is between elites in power and other elites attempting to come to power.
- The common masses on whose demands the public policies are formulated have limited or no influence in determining the public policies.
- Instead, policies are formulated by the ruling elite and the governing elite.
- The bureaucrats carry those into effect.
- Though in a democracy the elite theory is not directly implemented, its influence is found in an indirect manner

Institutional Model

- Public policy is an institutional activity since it is formulated through cooperative effort. Policy formulation is not an individual effort.
- Many people or many agencies join together and formulate a policy by following a set of rules and procedures.
- The institutions not only constitute crucial and significant nodal points for policy formulation, but also determine the formulation or adoption of policies, their possible content and directions.
- The structures of the institutions and their arrangements and interactions have a significant impact on public policies.

Institutional Model

- This model argues that policy formulation is the outcome of the internal agenda of government institutions rather than the result of external pressures and influences.
- This model states that in policy formulation, power is exercised by different individuals and groups such as the Prime Minister, Members of Parliament, bureaucrats, leaders of interest groups.
- In this model, policies do not take the shape of a public policy unless they are adopted and implemented by government institutions.
- Thus, government institutions give public policy three distinctive characteristics as follows:

Institutional Model

- Firstly, the government gives legal authority to policy, as it gets the approval of the law making body.
- Secondly, a policy gets universal character, as it can be applied to the entire society.
- Thirdly, public policy is backed by coercive power, since it is formulated by the government. The government can thus impose legal sanctions on violators of its policies.
- Thus, according to the Institutional Model, the structure and pattern of the government alone decides the quality of a public policy and it has a direct bearing on the policies.

Game Theory Model

- Game theory talks about strategic decisions that players make in a competition, where each participant or player seeks to maximize gains and minimize losses.
- In a competition, one person's gain becomes another person's loss.
- On similar lines, the Games Theory Model is applied for policy formulation as well.
- A public policy may not provide advantages to all sections of the people.
- Formulation of a particular policy may be gainful to one section of the society, whereas to another section it might be a loss.

Systems Model

- The Systems Model put forward by Easton, views the Policy Process as a political system that responds to the demands of the environment.
- According to this model, a policy is the response of the political system to the changing demands and desires of the people.
- The political system consists of various interrelated institutions and activities in a society that comes up with policy decisions in the society.
- The environment provides inputs to the decision process in the form of demands and supports.
- Demands are claims of individuals or groups to satisfy their needs.
- Support is rendered when individuals or groups accept the decisions and actions of the political system that are made in response to demands.

Systems Model

- The inputs into the policy process are provided by outside interests particularly from pressure groups, consumer groups and interest groups.
- Such environmental inputs into the political system are converted into outputs or policies.
- There is a concept of feedback in this model, which serves as a tool to know the advantages and disadvantages of the policy output.
- The errors in the policy thus get rectified through feedback.
- The Systems Model views the policy process in terms of conversion from inputs into policy outputs and then to outcomes.
- Thus, the policy making process has been regarded as a 'black box' which converts the demands of society into policies.

Agencies Involved in Policy Formulation

- Policy formulation usually occurs in government bureaucracy, offices of interest groups, meetings of special commissions and policy planning organizations.
- Formulation of policies that promote any form of equality (say, income, regional, gender, etc) is greatly enhanced by the active participation of various agencies from both formal and informal channels.
- The formal channels include the legislative, executive and political wings of the government.
- The informal channels of policy formulation include the political parties, civil society organizations, community-based groups, private-for-profit firms, trade unions etc.
- It is difficult for any policy formulator to make policy in isolation. Hence, for effective formulation of policies, cooperation of various players is essential and interaction between the formal and informal channels provides the basis for a more informed policy dialogue.

Agencies Involved in Policy Formulation

- Various agencies are involved in formulation and development of a policy.
- In PNG, the agencies that play the role of public policy making are: Cabinet; legislature; opposition political parties; pressure groups and NGOs; bureaucrats; and citizens.
- Before we study more about the agencies involved in policy formulation, it is important to understand the Constitutional and institutional framework from which the authority and power to formulate policies is derived.

Informal Channels of Policy Formulation

- Some of the informal channels of policy formulation include individual citizens; the media; political parties and civil society organizations.
- i) **Individual Citizens** In a democratic form of government, people are said to be the masters of their own destinies and public opinion plays a major role in the policy formulation process.
- The needs of the citizen enter the government by way of policy demands and are further shaped by the policy agenda of the political parties.
- Thus, in a democracy, people initiate the process of legislation and policy-making by voting for candidates whose opinions and values they know.

Informal Channels of Policy Formulation

- Yet, in practice, participation of people in policy formulation is negligible. The individual citizen is hardly a significant political force.
- However, it should also be noted that no government, however dictatorial, can afford to go against the wishes and customs of the people. Therefore, the interest of citizens matters a lot.
- As observed by Parsons, “the citizen should be seen as someone who can be involved in making a productive input to public policy.” Parsons further notes that “the lay voice should be taken seriously and that the enhancement of that voice should be a matter of concern for both policy analysts and policy makers.”

Informal Channels of Policy Formulation: The Media

- The role of media in the policy formulation process is an important factor. The media bridge the information gap between the citizen and the government.
- They communicate information to the citizens about the decisions the governments have taken and thereby media help shape their reactions to each other's decisions.
- At the same time, it is also important to determine whether they are politically biased in their presentation of information related to policy issues.
- If they are biased they are said to distort the very concept of democracy. If a citizen is to make rational decisions about a public policy the media should have a high standard of reliability.

The Media and Political Parties

- It should be unbiased in bringing issues of concern to the attention of the public as well as the concerned authorities.
- Thus, public opinion expressed through the mass media is central to policy formulation
- iii) **Political Parties:** Edmund Burke defines ‘a political party’ as “a body of men united for promoting the national interest on some particular principles on which they are all agreed”.
- Political parties are regarded as important agents for establishing popular control over the government and public policies.
- They play an important role in reflecting the issues at stake and in setting goals for the society.

Civil Society Organizations

- iv) Civil Society Organizations (CSO): They are organizations with formal structure whose members share a common interest.
- They strive to influence the decisions of the government without attempting to occupy political offices.
- CSOs range from large charity and voluntary organizations to community-based self help groups etc.
- CSOs also include NGOs, research institutes, religious organizations, professional organizations, lobbying and advocacy groups, etc.
- Acting alone, the individual citizen is rarely a significant force.
- In this context, group action by way of CSOs serves as an effective method compared to individual action for citizens to influence public policies.

Civil Society Organizations

- Unless a large numbers of citizens are organized for some common purpose or interest, the chances of transmitting their messages and policy issues will become bleak.
- CSOs have a vital input in the policy-making process.
- CSOs are important institutions in enhancing the effect of public opinion. CSOs serve as links between individual citizens and policy makers.
- They aid citizens in communicating their hopes to public officials by offering personnel and expertise in substantive matters of policy making.
- To policy makers, the associations offer expertise and political support.
- The organizations also articulate the interests and demands of the society, seek support for these demands among other groups by advocacy and bargaining and strive to transform these demands into public policies.

Govt and Private Collaboration

- The government institutions also collaborate with a range of private players.
- Choices made by private sector agents – whether households, firms or trade unions – are profoundly important for the persistence or reduction of:
- social / economic/ regional / gender inequalities.

Attributes of a Good Policy Formulation Process

- According to Moore (1998), a good policy formulation process is one, “which is committed to producing a high quality decision – not any particular decision”.
- Such a decision should be made with a high degree of legitimacy, power and accuracy.
- Hence, in order to produce such a high quality decision, the policy formulation process should hold onto certain characteristic features while formulating the policies.
- In the first place, a good policy formulation process would involve due consideration of the up-to-date knowledge of the subject matter and relevant data pertaining to it.
- Especially while formulating any policies, up-to-date knowledge of subject matter is pertinent.
- For this purpose, surveys and other methods of collecting statistical data can be designed to ensure that disaggregated data are properly collected and analyzed.

Attributes of a Good Policy Formulation Process

- A policy formulation process can be successful if the process seeks to expand the search for policy alternatives.
- This process helps in making the policy more effective.
- A good policy formulation process should also try to incorporate the views of beneficiaries.
- Views of beneficiaries can be obtained by way of qualitative research methods such as direct observation, individual or group interviews, case studies, etc.
- This ensures that the views of all groups are adequately represented while formulating policies.
- The agencies involved in policy formulation in addressing a problem may propose various alternatives to address the issue.

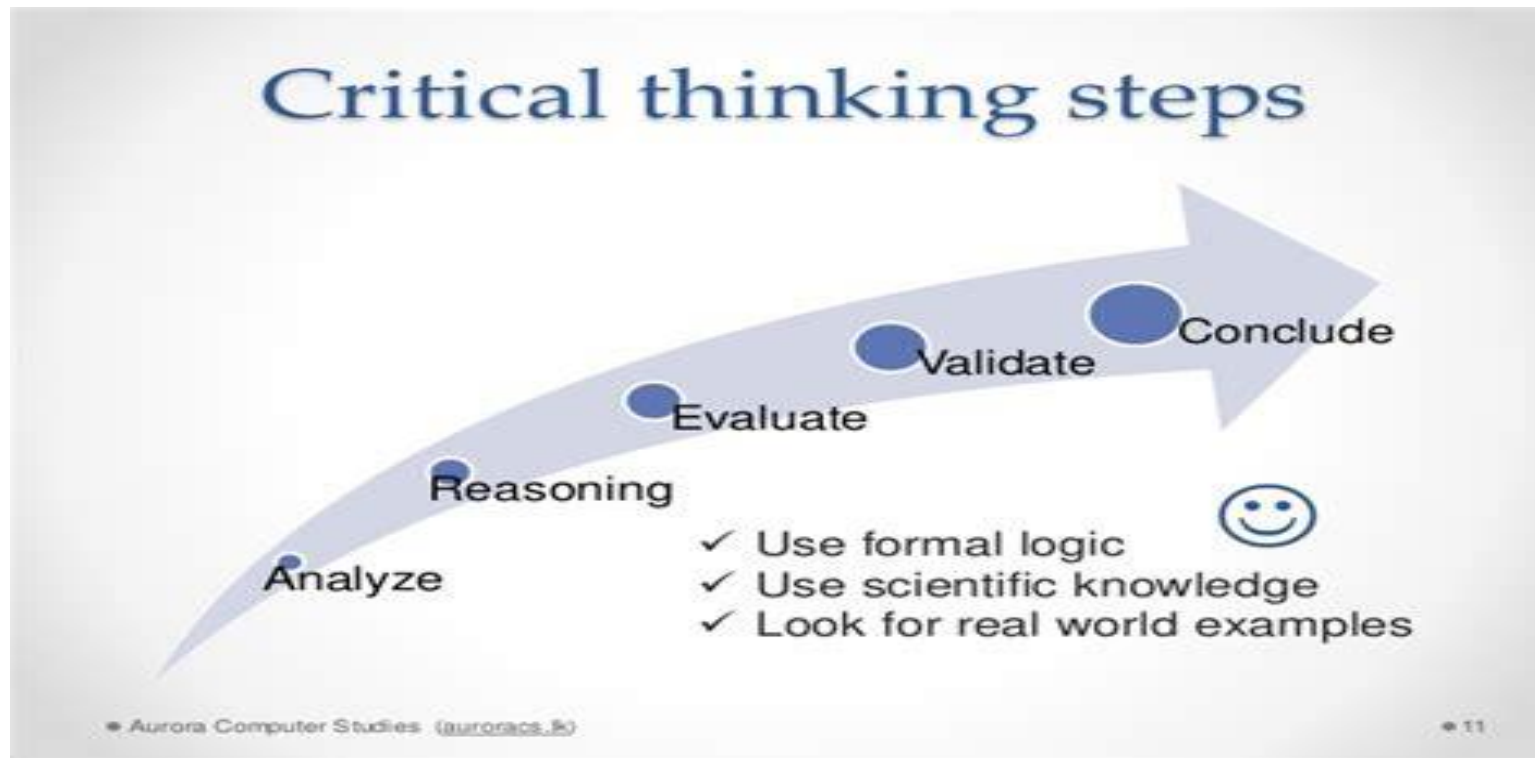
Attributes of a Good Policy Formulation Process

- But the critical challenge involved in this process for policy makers is to arrive at an appropriate alternative that would help in achieving the desired outcome.
- Usually, the policies that are formulated for the benefit of one section/sector of the society may have a significant impact on other sections/sectors of the society.
- For example, reservation policy to facilitate the employment opportunity of women may affect the opportunities of men.
- While formulating policies, policy makers should have a thorough knowledge of the policy impacts.
- They should arrive at policy decisions after consideration of the effects of the alternative choices on different sectors.

Attributes of a Good Policy Formulation Process

- A good policy formulation process should also make thorough analysis and assessment of the 'winners' and 'losers' from a given policy.
- Strategy should also be evolved to deal with the opposition that can be raised by 'losers' and explain the rightness in the policy
- Another attribute of a good policy making process is that the policy making process should concentrate on legitimizing the policy that has been formulated.
- Policy legitimizing is a process under which formulated policies are endorsed and accepted by legitimate authorities.
- Only if a policy is legitimized, it is more likely to be successfully implemented.

Part II: A Critical Look at Policy Formulation



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What is a public policy and Why they are important?

- In general, policies are generalized statements of intentions of how to formulate development plans.
- In other words, policy represents the basic foundation for developing and maintaining the sector considered.
- Policy making should display cohesion between multi-sectoral aspects and should strive to achieve coherent and viable co-ordination between multi-faceted adjectives.
- A policy is needed to maximise the benefits to economic development in terms of foreign exchange earnings, government revenue, employment, income and regional development.

What is a public policy and Why Policies are important?

- Is there only one way policies are and should be formulated;
- Effective formulation of policies is more about the right application of methods than of the substance of a policy domain;
- Is policy formulation about choosing from mutually exclusive alternatives?
- Why problem definition has priority over problem solution;
- There is a clear distinction between policy formulation, adoption and implementation.

Defining Policy Formulation

Topics	Remarks
Two aspects: Technical and political	The literature typically features either one or the other, rarely both simultaneously.
Define Policy formulation	Define as <i>both</i> effective + acceptable
The Policy formulation	The formula is essential: Analysis + Authorization = Formulation
Thereby, two roles:	Analyst and policy maker, but the latter has the responsibility

Images of Policy Formulation

- The idea of policy formulation suggests several images.
- The literature typically features either one or the other, rarely both simultaneously.
- The technically minded see this as an act of correct analysis, finding the optimal solution to a complicated problem.
- The politically minded see it as gaining support for a policy through the cumbersome legislative process.
- The former casts policy formulation in terms of rationality; the latter in terms of compromise and majority-building.
- Here, both are right.

Definition of Policy Formulation

- **Policy formulation is the development of effective and acceptable courses of action for addressing what has been placed on the policy agenda.**
- Notice that there are two parts to this definition of policy formulation:
- **Effective formulation** means that the policy proposed is regarded as a *valid, efficient, and implementable* solution to the issue at hand.
- If the policy is seen as ineffective or unworkable in practice, there is no legitimate reason to propose it.
- Policy analysts try to identify effective alternatives. This is the analytical phase of policy formulation.

Definition of Policy Formulation

- **Acceptable formulation** means that the proposed course of action is likely to be *authorized* by the legitimate decision makers, usually through *majority-building* in a bargaining process.
- That is, it must be *politically feasible*. If the policy is likely to be rejected by the decision making body, it may be impractical to suggest it. This is the political phase of policy formulation.
- There are, then, two aspects to policy formulation: the **analytical** and the **political**.
- First, effective policy alternatives, presumably based on sound analysis, must be conceived and clearly articulated.
- Second, a political choice among these alternatives must be made:
- The policy must be authorized through a political process, such as legislation or regulation.
- Both phases --- analysis and authorization --comprise policy formulation.

Analysis + Authorization = Formulation

- The definition of policy formulation can be represented by this formula:
- **Analysis + Authorization = Formulation**
- The tidy division of labor incorporates two distinct roles professional policy analysts,
 - working both inside and outside government,
 - use their formidable kit of analytical tools to study an issue and to devise policy alternatives which appear to address the issue at hand.
- This presumably brings theory and knowledge into policy formulation.

Analysis + Authorization = Formulation

- **Elected or appointed officials, however, have the final choice among alternatives presented.**
- We like to think that they bring judgment, wisdom, and accountability to policy formulation.
- Both analysis and selection involve values, but this is often hidden in the case of the former, but certainly not the latter.

Two Complementary Roles: Analyst and Decision Maker

- Both roles should complement each other.
- The policy planners are expected to contribute sound technical analysis regarding means, behavior, cost, implementation strategy, and consequences, good or bad.
- Technical analysts, however, are not held accountable to the public.
- The elected or politically appointed officials do not necessarily have the analytical ability to address the problem.
- The judgment as to goals, trade-offs, value priorities, and weighing the overall effects are left to the decision makers who are, in theory, accountable under our representative form of government.

Two Complementary Roles: Analyst and Decision Maker

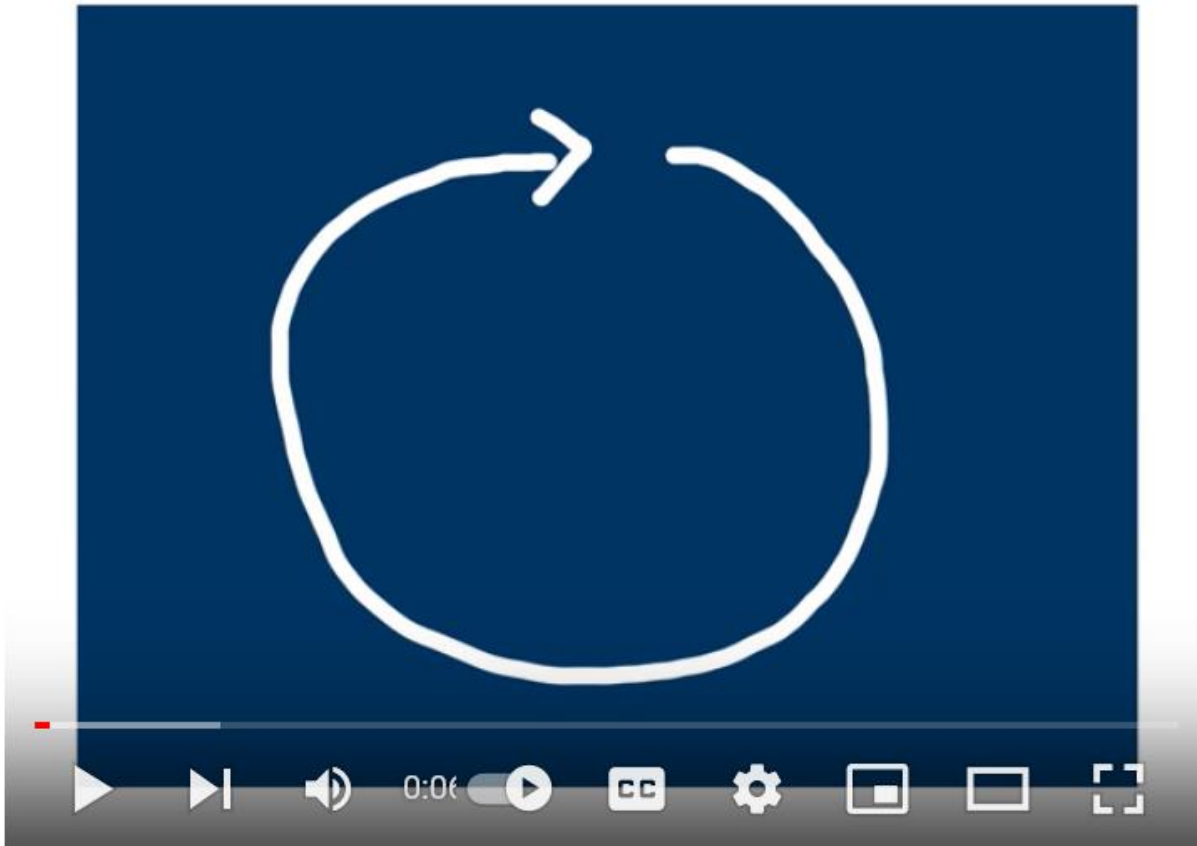
- The arrangement works to the extent that the analysts are keen and informed and that the decision makers exercise sound judgment and are responsive.
- If the policy goes awry, we might ask if the technical analysis was faulty or if the political actors either exercised bad judgment, excluded effective alternatives, mis-defined the problem, or "played politics" with public policy.
- Either way, we assume the politicians are ultimately charged with policy making and that they will properly be held accountable by the public.
- But let's make this point again, since it is so important: **Elected or appointed officials, however, have the final choice among alternatives presented.**

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A video with an example of policy formulation here

- <https://youtu.be/GESp7T7MtYE>



What next?

- Paradoxes, Dilemmas, and Path-Dependence