

Public Policy Management: W14 Policy Analysis

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Week	Main Topics	Key words
10	How Policy Makes Politics	nexus of policy and politics
11	Evidence-Based Policymaking	Evidence, research
12	Policy implementation	bureaucracy, Government officials
13	Evaluation of public policy	Goals, attainment
14	Public Policy Analysis	policy content analysis
15	Public Policy Analysis: Stakeholder Analysis	who, what and how
16	Public Policy Analysis: Cost- Benefit Analysis	costs, benefits, returns

Recap of Previous weeks

- How Policy Makes Politics
- Evidence-Based Policymaking
- Policy implementation
- Evaluation of public policy
- Outline of Week 14 : Public Policy Analysis in three parts
- Part I – introduction,
- Why policy analysis is important?
- Approaches to policy analysis

Outline of Week14: Policy Analysis

- Part II – Policy tools
- Defining a Policy Formulation Tool
- What are tools of Public Policy?
- Why policy tools are important?
- Typology of Policy Formulation Tools
- Methodological Difficulties in Policy Analysis
- Part III - Skills required for policy analysis / analyst
- Questions for Policy Analysts at Each Stage of the Process

Introduction

- The origins of the policy focus are usually identified with the writings of Harold Lasswell, considered to be the founder of the field.
- Influenced as much by his European experiences as by American politics, Lasswell envisioned a multidisciplinary enterprise capable of guiding the political decision processes of post-Second World War industrial societies (Torgerson 1985).
- Of special importance, in this respect, is the landmark book *The Policy Orientation*, edited in 1951 by Lasswell and Lerner. The book looks into the study of the role of 'knowledge in and of the policy process'.
- Policy analysis – multi-disciplinary - emerged in the 1960s and 1970s a policy science that would be able to develop generalizable rules applicable to a range of problems and contexts.
- In no small part, this has been driven by the dominant influence of economics and its positivist scientific methodologies on the development of the field.

Traditional vs Policy Analysis

Traditional Research	Policy Analysis
Pure Sciences	Practical analysis (e.g. measuring cost-effectiveness)
Uses explicit steps and procedures	Flexible, situational, and uses natural experiments
Addresses broad questions	Can address local problems
Focuses on complexity	Focuses on decision-making and implementation of policies and programs
Seeks the 'truth'	Timely and responsive
Timeliness and responsiveness to policymakers is not a goal	Science blended with craft

Basic vs. Researched Analysis

Researched Policy Analysis	Basic Policy Analysis
Extensive inventory phase	Limited inventory, focused on specific issues
Search for alternatives which are narrowed before public presentation	Constrained search for alternatives
Preparation of a plan	Preparation of memoranda, issue papers, policy papers or draft legislation
Client: the public interest	Specific client
Long-term process	Short-term process

Moving from traditional research to policy-relevant analysis

- In order to move from traditional research to policy-relevant analysis, the researcher must customize the research techniques that are used. Answering the following questions can assist with the customization.
- Who is the audience and what do they need to know?
- Who are the policymaker's constituents and what do they care about?
- Does the research need to be timely (quick turnaround)?
- What are the decision criteria? (might be based on the type of entity making the decision – e.g. committee, legislature, government agency)
- Is the environment complex?
- Are there data available?

Targeting Analysis by Policymaking Phase

- The researcher also needs to consider the point in the policy process that he/she is hoping to influence and use the appropriate analysis methods. Below are the three main phases, their primary objectives, and analysis methods.
- 1. Policy Formulation: Gathering evidence to bring about a new policy
- a. *Analysis methods include*: descriptive (e.g. literature review, case studies, inferential), analytic (e.g. stakeholder mapping, cross-sectional surveys), experimental, quasi-experimental, systems science (e.g. microsimulation, system dynamics)
- b. Evidence must be tailored to the policymaker
- c. Political reality requires that evidence factor in costs and/or population-level predictions

Targeting Analysis by Policymaking Phase

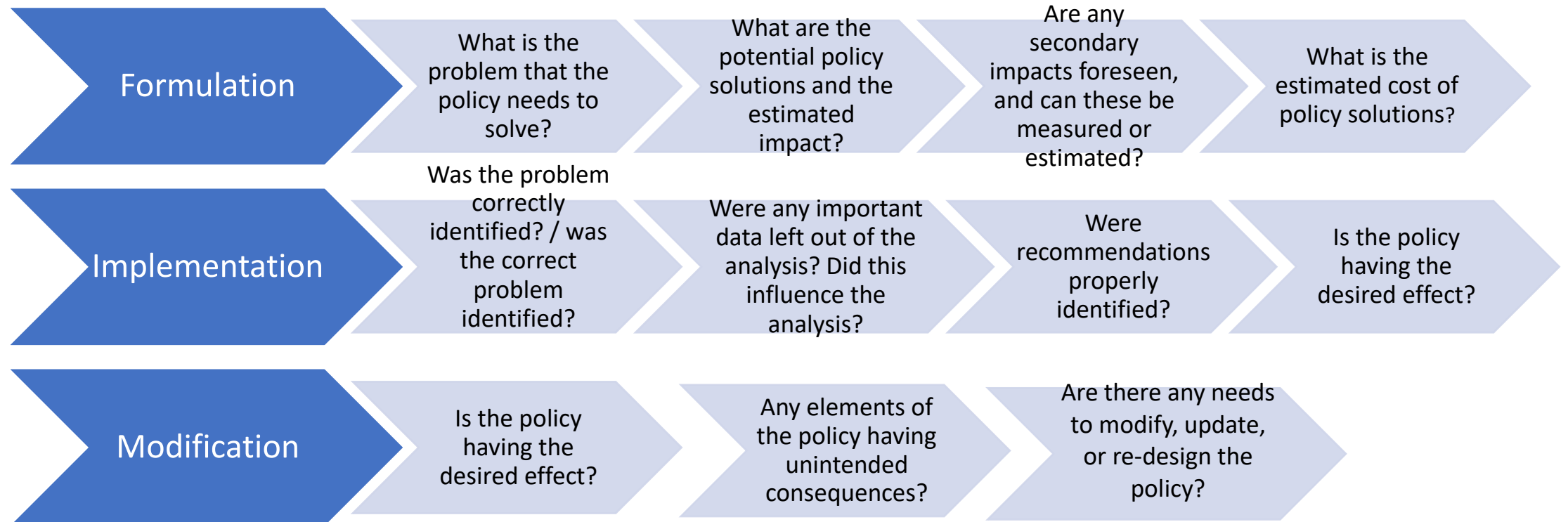
- 2. Policy Implementation: Focuses on policy details and measuring successes
- a. *Analysis methods include*: before-and-after comparisons (e.g. difference-in-difference analysis), with-and-without comparisons, actual versus planned performance, cost and cost-effectiveness analysis
- b. The researcher must understand the perspective of the rule maker.
- c. Seeks to measure whether the policy was implemented as planned and if the implementation has achieved the desired effect

Targeting Analysis by Policymaking Phase

- 3. Policy Modification: Proposing policy revisions or reformulations. It also can include changes in agenda setting
- a. *Analysis methods include*: either policy formulation methods for changes in agenda setting or policy implementation methods for changes in legislation
- b. Evaluating whether the policy is having the desired effect, whether the problem was correctly identified, if important aspects were overlooked, and if recommendations were properly implemented.
- c. Leverage feedback from stakeholders and individuals impacted by the policy

Example Research Questions by Policymaking Phase

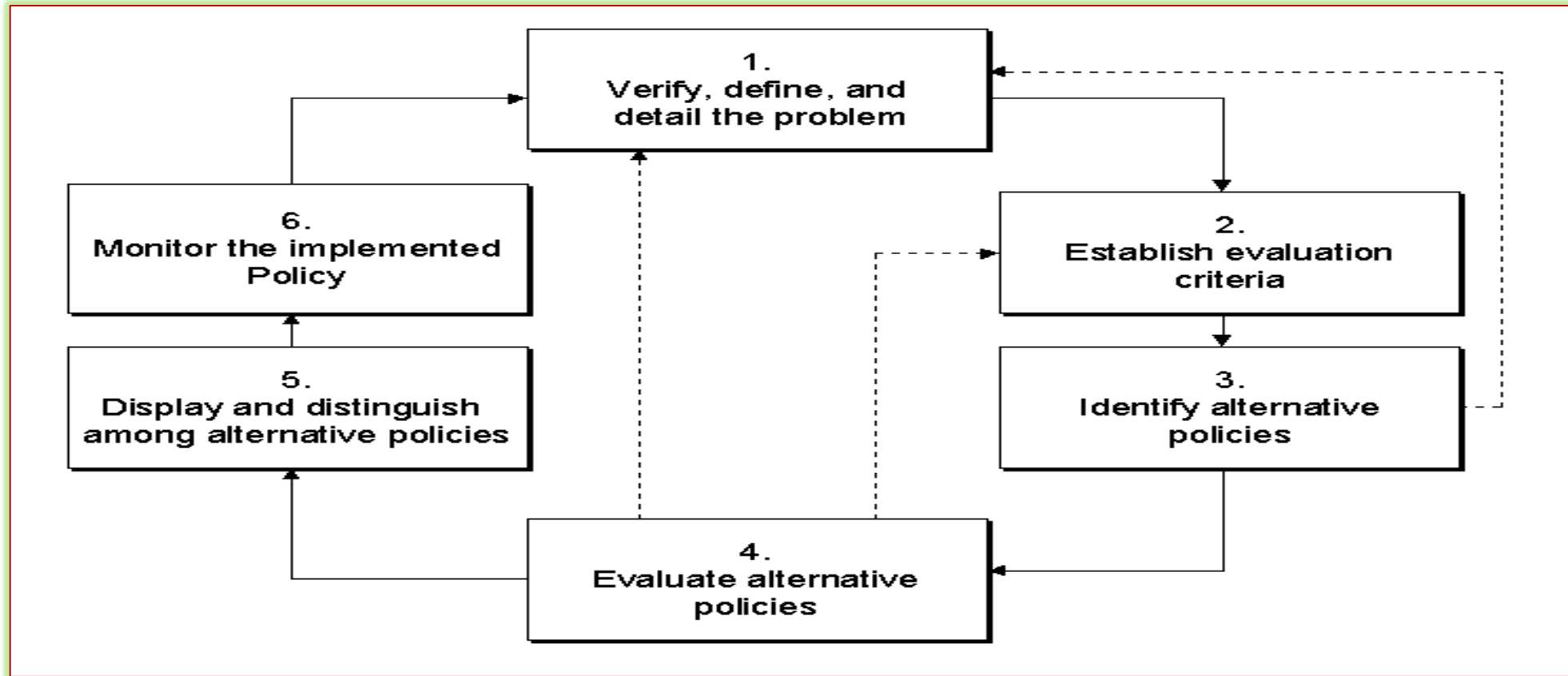
After the researcher determines the appropriate phase of the policymaking process, the research question must be customized accordingly. Below are example research questions for each phase of the process.



Policy Implementation: Understanding the Rule maker's Perspective

- The academic researcher answers questions such as “what design will make the best intervention?” and “what will be the impact?” while the rule maker has to consider the following questions during the Policy Implementation phase.
- Are there few or many actors required to implement the policy alternative?
- Will there be one or multiple implementation settings?
- Will there be a single or multiple sets of instructions?
- What is the degree of consensus around this alternative?
- What is the cost of the alternative compared to the current policy?
- How much of the political conflict from the adoption stage will be displaced into the implementation stage?
- What magnitude of change will be required?
- Are the necessary resources present, such as administrative will, competence, budget, skills, authority, and personnel?

Policy Analysis Process



The Policy Analysis Process

- **Decision-making Structures...**
 - **Technocracy** (or the technocratic approach) is defined as the application of technical knowledge, expertise, techniques, and methods to problem solving.
 - **Democracy** refers to citizen involvement activities in relation to government planning and policy making.
- **Three Types of Policy Decisions...**
 - **Technical** decisions that are based solely on the application and extrapolation of scientific issues
 - **Value** decisions are concerned with the resolution of important normative or societal issues. Value issues involve normative determinations of "what should be". Although scientific information can provide guidance with respect to value decisions, it is rarely the sole determinant
 - **Mixed** decisions that have both technical and value components. Technical decisions rely on scientific techniques and extrapolations to determine the potential of "what is".

Rational Decisions

- A decision is rational to the extent that it is shown empirically to match the best available means of achieving a given end.
- **Characteristics of Policy Problems....**
 - They are not well defined
 - Their solutions cannot generally be proven to be correct before application
 - No problem solution is ever guaranteed to achieve the intended result
 - Problem solutions are seldom the best and the cheapest
 - The adequacy of the solution is often difficult to measure against the "public good"
 - The fairness of solutions is impossible to measure objectively

Content of a policy is seen to evolve as it moves through the policy process

- As each group struggles to interpret a piece of legislation in a light favourable to its own interests, the content of the programme evolves through a seemingly endless set of negotiations between interested parties.
- The study of public policy, as we have seen earlier, emerged to bring the theories and methods of social science to bear on the pressing social and economic problems confronting modern society.
- Although the initial Lasswellian conception of a policy science represented a multidisciplinary project devoted to the norms and values of democratic governance, the practices that have defined policy analysis in the contemporary social sciences have been more narrowly empiricist, rationalistic, and technocratic.
- Over the past 30 years the approach of this narrower orientation has raised serious questions about the relevance of such policy research. Even though the empiricism has remained dominant, it has had to give some ground to more normative and qualitative perspectives.

Content of a policy analysis

- In the process of acknowledging its failures to make the promised pay-offs, the mainstream approach still neglects to confront fully the socially constructed value-oriented nature of the political realities it takes as its topic.
- Most of the mainstream efforts at reform have introduced qualitative methods in ways that still subordinate them to the larger empiricist/rationalist project, more often than not in the hope that one day it will finally rise to the challenge.
- Beginning with a critique of the technocratic perspectives of conventional policy analysis, it has in more recent years advanced a qualitative understanding of the goals and tasks of the field.
- Although there is no one post empiricist perspective, there is increasingly a convergent set of themes and approaches that define these efforts.
- Inherent to these discourse-analytic and interpretive methods has been an emphasis on participatory democracy, derived from the values and norms of democratic governance.
- In this, there is of a renewed interest in the role of ideas and discourse in policy studies.

Approaches to Policy Study

- Political and social scientists have developed many models, theories, approaches, concepts, and schemes for analyzing policymaking and its related component, decision-making.
- Indeed, political scientists have often displayed more facility and zeal for theorizing about public policymaking than for actually studying policy and the policymaking process.
- Nonetheless, theories and concepts are needed to guide the study of public policy, to facilitate communication, and to suggest possible explanations for policy actions.
- Those who aspire to systematically study the policymaking process need some guidelines and criteria of relevance to focus their effort and to prevent aimless meandering through the fields of political data.
- What we find when we engage in research depends partly upon what we are looking for; policy concepts, models, and theories give direction and structure to our inquiry.

Approaches to Policy Study

- But first we must distinguish between policymaking and decision-making, a distinction students of public policy do not always make with clarity, if at all.
- Decision-making, involves making a discrete choice from among two or more alternatives or policy options.
- Theories of decision-making deal with the criteria and processes used in making such choices.
- A *policy*, as defined earlier, is "a relatively stable, purposive course of action followed by an actor or set of actors in dealing with a problem or matter of concern."
- Policymaking thus typically encompasses a flow and pattern of action that extends over time and includes many decisions, some routine and some not so routine.
- Rarely will a policy be synonymous with a single decision.
- It is the course of action, the pattern or regularity, that defines policy, not an isolated event. In the example, the policy is best thought of as going dirty, (Anderson, 2003)

Part II: Policy Tools

- Defining a Policy Formulation Tool
- What are tools of Public Policy?
- Why policy tools are important?
- Typology of Policy Formulation Tools
- Methodological Difficulties in Policy Analysis

Recollecting what is a Public Policy?

- Policy is not one document, but collection of documents, statements, decisions, etc.
- Output of government that shapes and is shaped by political conflict
- Legislation → implementation
- “a tool, or instrument, of public action can be defined as an identifiable method through which collective action is structured to address a public problem.”

Defining a Policy Formulation Tool

- Jenkins-Smith (1990,) define a policy formulation tool as:
- a technique, scheme, device or operation (including – but not limited to – those developed in the fields of economics, mathematics, statistics, computing, operations research and systems dynamics), which can be used to collect, condense and make sense of different kinds of policy relevant knowledge to perform some or all of the various inter-linked tasks of policy analysis and formulation.

What are tools of Public Policy?

- What techniques or means do public policymakers use in their attempts to achieve policy goals?
- The roles of what may be termed policy instruments, tools and methods (Howlett 2011) have attracted a great deal of attention.
- It is generally accepted that policy tools and instruments exist at all stages of the policy process (Howlett 2011), ranging from policy formulation through to ex post evaluation (Dunn 2004).
- But much of the debate has focused on instruments for implementing agreed policy objectives, such as regulations, subsidies, taxes and voluntary agreements.
- Recently, a second category of implementing instruments has been identified: **procedural tools** (Howlett 2000).
- Third category of policy tools and instruments - referred to as 'analytical tools' (Radin 2013), 'policy-analytic methods' (Dunn 2004), decision support tools or 'analycentric' tools (Schick 1977).

Policy formulation tools

- These policy formulation tools come in many different shapes and sizes.
- Initially, they were designed to support a very specific task, namely the ‘collection of as much information and data as were available to help decision makers address the substantive aspects of the problem at hand’ (Radin 2013).
- Later, these tools are regarded as a means to address many other policy formulation tasks, for example **understanding the nature of policy problems, estimating how they might change over time and clarifying or even eliminating some of the many possible policy response options.**
- To understand these tools fully, we must view them in the context of the broader activities and processes of policy formulation.

The Place of Policy tools

- Policy formulation is a very different activity to policy implementation. It is an important phase that ‘generating options about what to do about a public problem’ (Howlett 2011).
- If the agenda-setting stage is 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; 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).

What are policy tools?

- Based on Dunn (2004), these include tools for forecasting and exploring future problems through the use of scenarios, tools for identifying and recommending policy options;
- for example, cost–benefit, cost-effectiveness and multi-criteria analyses and
- tools for exploring problem structuring or framing (for example, brainstorming, boundary analysis and argumentation mapping).
- In recent years, the number of potentially deployable policy formulation tools has expanded massively.
- They include types that may be considered to fall into both positivist and post-positivist categories, with the latter inspired by critiques of the role of technocratic analysis and a concern to address subtle influences that act to condition the content of policy: such as material forces, discourses and ideologies (Fischer 1995).

The Tools of Policy Formulation

- While departments of public administration and politics were supposed to supply an understanding of how political and administrative systems operated, the assumption was that the tools of analysis would be produced by technical experts in economics, operations and systems analysis.
- The 1950s and 1960s saw the rise of the professional policy analyst, providing specialist input to policy, and institutions for formalizing such input like the Systems Analysis Unit in the US Defense Department (Radin 2013,) and, later in the UK, the Central Policy Review Staff, both staffed by experts in the latest tools and methods.
- The Systems Analysis Unit was charged with implementing one of the very first (and controversial) systematic policy formulation tools, known as the Program Planning and Budgeting System (PPBS) (Schultze 1970).
- The PPBS sought to integrate budgeting and policy development in the quest for greater efficiency and hence more rational decisions.

The Tools of Policy Formulation

- These tool-driven or ‘analycentric’ approaches (Schick 1977) initially developed in the fields of defence and budgeting, but from the late 1960s, as the reach of governmental action spread further into fields such as education, health and social care, the scope of analytical activities also expanded.
- Tools were central to the rapidly emerging field of policy analysis.
- A direct consequence of these developments was a major effort to integrate analytical tools into policy formulation.
- These tools initially drew on techniques from operational research and economic analysis, including methods for assessing the costs and benefits of different policy alternatives, and analysis of interacting parts of complex systems.

Why policy tools?

- First, new tasks other than knowledge creation are being found for tools such as CBA and indicators.
- They are seen as a means to implement the New Public Management agenda, for example.
- They seek to incentivize improvements in performance, monitor progress and ensure political accountability.
- In developing countries, tools are being used to rationalize policymaking in situations where the public sphere is still relatively weak, vis-à-vis traditional forms of politics based on patronage.

Why policy tools?

- Second, the emergence of more complex policy problems has generated a more sophisticated policy formulation tools such as scenarios and computer-based forms of modelling.
- According to Lindquist (1992), they: need new analytical tools that will help them
 - to diagnose and map the external environments of the public agencies,
 - to recognize the inherent tensions and dynamics in these environments as they pertain to policy development and consensus building, and
 - to develop new strategies for ‘working’ in these environments in the interests of both of their political masters and those of the broader communities they serve.

Formulation Tools

- The first literature describes the internal characteristics and functions of each tool, and/or offers tool kits which seek to assist policy formulators in selecting ‘the right tool for the job’.
- They are sub-literatures for a vast array of different tools; numerous classic texts.
- Fragmented into the main tool subtypes, but rationalistic in its framing, this nonetheless remains crucial as it outlines the intrinsic features of each tool.
- However, it does not say about where, how, why and by whom they are used, and what effects they (do not) produce.
- The second is dominated by typologies. Tools can be typologized in different ways:
- Based on technical complexity - For ex: by the resources or capacities requirement; by the activity they support (for example, agenda setting, options appraisal); by the task they perform; and by their spatial resolution.
- Radin distinguishes between two main types: the more economic tools such as cost–benefit analysis (CBA) and ‘systematic approaches’ such as criteria analysis and political mapping.

Formulation Tools

- Simple tools such as checklists, questionnaires, impact tables or similar techniques for assisting expert judgement.
- More formal tools, such as scenario techniques, CBA, risk assessment and multi-criteria analysis, which require several analytical steps, rules, methods and procedures.
- Advanced tools which attempt to capture the more dynamic and complex aspects of societal or economic development by performing computer-based simulation exercises.
- There was no normative ranking implied in this typology.
- We also noted the basic difference between tools (such as scenarios and public participation) with open procedures and purposes, and those like CBA that follow a set of standard procedural steps.
- But we did not relate these to the policy formulation tasks that tools could or should perform.

Formulation Tools

- The third literature adopts a more critical perspective (Wildavsky 1987; Shulock 1999; Self 1981), offering words of caution about expecting too much from tools.
- It left a deep impression on a sufficient number of policy analysts; led to development of a new sub-field.
- Many tools have been developed and are very heavily applied in certain venues to routinely produce effects that are not currently understood.
- Hence, questions about precisely where, how, why and by whom they are used remain.
- A fourth and final literature is more strongly focused on the main venues and processes of policy formulation rather than the tools.
- This literature encompasses studies of crucial factors such as the utilization of knowledge in policymaking (Radaelli, 1995), and the role of power and institutions.
- The manner in which power and particular analytical practices are bound up with one another has been explored in planning/geography (Owens and Cowell 2002) and science and technology studies (Stirling 2008).

Formulation Tools

- Other aspects focus on the political demand for evidence-based policymaking (Sanderson 2002; Shine and Bartley 2011).
- Much of this literature adopts a macro- or a meso-level focus and draws on or develops theory.
- To the extent that it considers policy formulation tools, there is a tendency to assume that tools are epiphenomenal and hence not warranting detailed analysis.
- But without more detailed research, these remain no more than untested assumptions.

Typology of Policy Formulation Tools

- Proposed that the five policy formulation tasks outlined earlier –
- problem characterization,
- problem evaluation,
- specification of objectives,
- policy options assessment and
- policy design – may be used to structure a typology of policy formulation tools, based on what might be termed the ‘textbook’ characteristics of what they may be capable of.

Typology of Policy Formulation Tools

- We also draw on Dunn's (2004) schema of three types of tasks associated with policy formulation tools (problem structuring, forecasting and recommending), and de Ridder et al.'s (2007) typology of assessment tools (see following Table).
- In the Table, the first two tasks of 'problem characterization' and 'problem evaluation' broadly correspond to problem structuring – that is, tools that produce information about what problem to solve.
- The remaining three tasks correspond to forecasting – hence tools that produce information about the expected outcomes of policies – and also recommending – hence tools that produce information about preferred policies

Policy formulation task	Examples of the policy-relevant information tools	Examples of tools
Problem Characterization	baseline information on policy problems	<ul style="list-style-type: none"> ● environmental, social and economic indicators; ● survey data; ● statistical reports; ● stakeholder evidence
	evidence on problem causation and scale	<ul style="list-style-type: none"> ● geographical information systems; ● maps; ● expert evidence
	articulation of values through participation	<ul style="list-style-type: none"> ● brainstorming; ● boundary analysis; ● argumentation mapping
Problem Evaluation	See 'Problem Characterization'	See 'Problem Characterization'

Specification of Objectives	visions on different objectives, futures & pathways	● scenario analysis
Options Assessment	comparison of potential impacts of different options	<ul style="list-style-type: none"> ● cost–benefit and cost effectiveness analysis; ● cost–utility analysis; ● multi-criteria analysis; ● risk–benefit analysis; ● risk assessment
	assessment of past and future trends	<ul style="list-style-type: none"> ● extrapolative or forecasting tools, including: ● time-series analyses or statistical methods; ● informed judgements (for ex., Delphi technique - process used to arrive at a group opinion or decision by surveying a panel of experts) ● computer simulations; ● economic forecasting; ● multi-agent simulation

Policy formulation task	Examples of the policy-relevant information tools	Examples of tools
Policy Design	evaluation of potential effectiveness of different instruments or policy mixes	See 'Options Assessment

Source: Based on Dunn (2004); de Ridder et al. (2007)

Methodological Difficulties in Policy Analysis

- Methodological problems afflict all research, although social scientists appear both more self-conscious about their methodology and more intellectually inclined to batter themselves for methodological infirmities than do natural and physical scientists.
- Policy research, especially given the complexity of its subject matter, has its full share of methodological problems. Such problems may impede or limit policy research, and may make it more than a little frustrating at times, but they neither prevent it nor negate the need for it.
- An awareness of some of these problems, however, may help prevent wasted efforts, needless errors, unsound conclusions, and insomnia.
- Solid, conclusive evidence, facts, or data, as one prefers, on the motives, values, and behavior of policy-makers, the nature and scope of public problems, the impact of policies, and other facets of the policy process are often difficult to acquire or simply not available.

Methodological Difficulties in Policy Analysis

- The urge to convert assumptions or speculations about what happened into facts is something to be resisted, along with the uncritical acceptance of the often self-serving statements or incomplete explanations emanating from public officials and other participants in the policy process.
- Sometimes numerical measures of political phenomena such as policy impacts are used without sufficient care in determining their validity.
- Is the number of infant deaths (in their first year) per 1,000 live births a good indicator of the general level of health care in a society that has much income inequality?
- Do salary levels and similar data really measure the professionalism of civil servants? The acquisition of hard facts about who did what, why, and with what effect should be the goal of research.

Methodological Difficulties in Policy Analysis

- We need to be able to say with some certainty why members of Congress respond to constituency interests on some issues and not others, or what role the media play in setting agendas.
- In explaining behavior in the policy process, one needs empirical data that will permit the demonstration or sound inference of cause-and-effect relationships.
- Once a person gets involved in quantitative data-based analysis, it is important to resist the notion that collecting empirical data is of prime importance and that the more data one has, the more one can explain. One can drown in a sea of data as well as thirst for lack thereof.
- To account for or explain behavior, theory is needed that will guide analysis in potentially fruitful directions, as well as good judgment in the selection of policy measures. As much as possible, hypotheses about cause-and-effect relationships need to be developed and tested on the basis of the best available evidence.

Methodological Difficulties in Policy Analysis

- The notion that policy analysis is worthwhile only when it involves the analysis of quantitative data with statistical techniques—the higher powered the better—should also be resisted. There is no reason to assume that if something cannot be counted, it does not count.
- Some policy areas and problems have not been very amenable to rigorous quantitative measurement and analysis, although this may not always continue to be the case.
- Many aspects of social welfare and economic regulatory policies currently fit into this category. How does one measure the comparative influence of pressure groups, agency values, and economic analysis on rulemaking?
- The prosecution of insider traders by the Securities and Exchange Commission? The total benefits of a public-housing program?
- And how does one appraise the power of ideas, as distinct from interests, in developing programs for the handicapped? Such questions present real puzzles.

Methodological Difficulties in Policy Analysis

- Yet it should be stressed that explicit theory, quantitative data, and careful, rigorous analysis have not been as frequently utilized in studying policy as would be possible or desirable.
- Thus political scientist's contention that regulatory agencies pass through a four-stage life cycle (gestation and birth, youth, maturity, and old age), which is not well-specified by the regulated groups.
- This theory will not do much to explain a raft of consumer protection, industrial health and safety, and environmental programs. Many perceptive and informative studies of policy formation employ little or no statistical analysis.
- The quality of intellectual analysis and careful use of sound data (or information) are more important than whether and to what extent quantitative analysis is employed when it comes to determining the worth of a study.
- To be rigorous, analysis does not have to be quantitative, and not all quantitative analysis is rigorous.

Part III: What are the skill sets needed for Policy Analysis?

- 1. time management
- 2. critical reading & note taking - mapping a route through a sea of information
- 3. clear, logical, sequential, pragmatic thinking to solve problems
- 4. top notch research and synthesis
- 5. solid quantitative and qualitative data analysis
- 6. abstract thinking- using and creating frameworks for analysis
- 7. original, exciting, and to the point writing and verbal skills that can persuade a skeptical audience

- **Time management**

- Hard work, hard work, hard work
- Planning- never enough time, but need structured daily time for each task: reading, reflection, writing (multitasking does not work)
- Daily, steady work
- Communication to nip problems in the bud

- **Critical Reading**

- Do not read word for word.
- Read key titles and intro and conclusion.
- Understand the logic of the argument.
- Focus in on the sections needed.
- Examine the methodology.
- Take notes.
- Compare to other authors. Why do they differ?
- Prepare questions/comments for meeting.

Logical Thinking

- Identify the key question and the sub-questions.
- Criticize, but then suggest pragmatically and feasibly.
- Understand the constraints of knowledge, methods, context.
- Examine generalizations, assumptions, metaphors, appropriateness of cases/data (methods) for answering the question posed.
- Suggestion and examine alternatives. Which are practical, from a technical, economic, and political point of view?
- Why do you favour a particular alternative?

Research Skills

- **What are the skills needed for obtaining evidence?**

- This includes the skills needed to frame questions, understand what evidence is, data literacy, commission and select evidence, and ensure appropriate stocktaking
- Use books as your first step.
- Articles are 2nd source.
- Then public policy reports.
- Internet search comes last.

- **Know what you are looking for; what questions you want to answer. You will have to read context first.**

- Do not over-generalize.
- Define the frontiers of knowledge.
- Borrow frameworks.
- Use original data.

2. What are the skills needed for the appraisal of evidence?

- This includes the skills needed for reviewing evidence such as data analysis, quantitative assessment, systems thinking.
- It explores critical appraisal skills, including assessing the risk of bias and application of standards of evidence.
- It covers feedback from policy implementation and monitoring.
- It includes how to debunk untruths and to interrogate critically evidence given by interest groups.

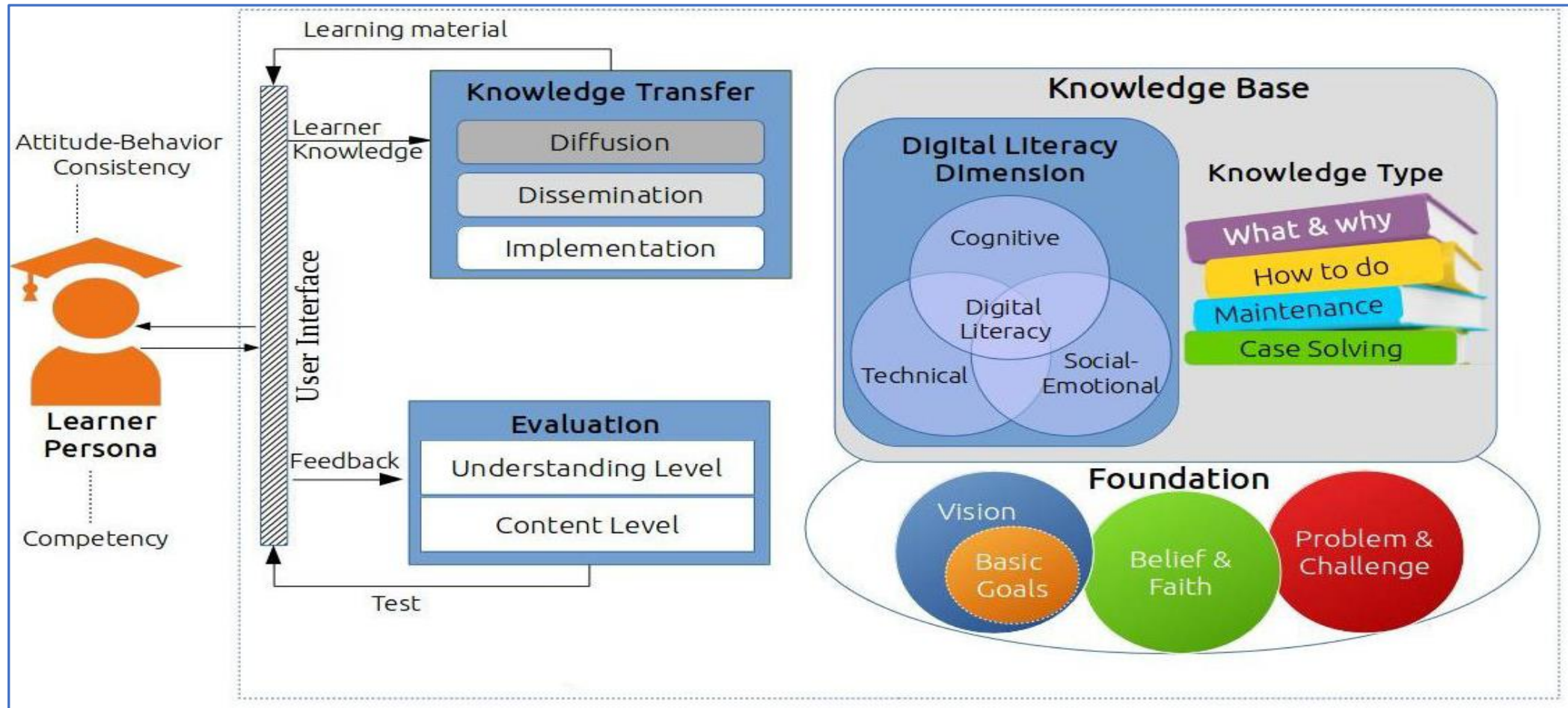
3. What are the processes, institutional set-up and skills needed for incorporating evidence in policy-making?

- This includes how to incorporate evidence and other inputs to the policy process, including stakeholder consultation, the role of emotions and values and the role of co-production.
- This includes fostering an understanding of how facts and evidence can support decision making, but also how political decision making has to integrate other political constraints, and be combined with emotions and values.

Skills Clusters for Evidence-Informed Policy Making

- UNDERSTAND
- Evidence literacy:
 - Understanding what evidence is. Understanding what EIPM is, e.g. introduction to Evidence- Informed Policy Making including the role of evidence in policymaking process. Distinguishing between types of evidence, who uses them and why. Detection of challenges that affect the use of knowledge.
- Data literacy:
 - Understanding data. Identifying applications, benefits and challenges of big data. Statistical literacy
- Digital literacy skills (next slide)

Digital Literacy Learning System*



Source: Rehman, (2015) * for Indonesian Citizen

Interrogate/Consider

- Holistic perception, syntheses and systemic understanding.
- Critical thinking, questioning the prevailing conditions.
- Assessing evidence critically, including analysing source, legitimacy, credibility, bias and quality, as well as basic principles of research methodology.
- Use of diverse information and expertise.
- Use of inconvenient evidence. Questioning the prevailing assumptions and practices. Counterfactual reasoning. Debiasing.

Engage

- **Communicating Evidence:**
 - Developing politically communicable messages. Using narrative. Communicating with politicians. Building trust in government. Using infographics, multimedia, data visualization.
- **Citizens engagement:**
 - Consultation. Facilitation. Social media. Crowdsourcing. Understanding the interplay of evidence and values in public debate.
- **Integrity:**
 - Dialogue with evidence community. Interaction the dialogue between knowledge and decision-making. Setting and managing knowledge communities. Co-operation and co-production.

Obtain

- Commissioning evidence.
- **Obtaining knowledge and expertise:**
 - Identifying available resources. Collecting and synthesizing knowledge from multiple sources.
- **Framing questions:**
 - Identifying desirable characteristics of evidence. Developing terms of reference for evidence commissioning. Project management. Evaluation of results. Audit and control.

Apply

- **Applying evidence/knowledge in policy:**
 - Detecting possible uses. Policy intelligence/ sensitivity. Managing challenges for evidence incorporation into the public policy process. Knowledge management, coordination and sharing. Identifying institution's use of knowledge and next steps for change within change agent's sphere of influence. Developing flexible and adaptive plans to maximize institution's use of knowledge/ evidence in policy.
- **Scenario development:**
 - Refinement and application of evidence. Interventions. Assessment of results. Innovation in governance. Integrating innovation & evidence reform agendas.
- **Design thinking:**
 - Behavioral insights. Experimentation. Creative thinking. Nudging. Flexibility.

- **Policy Analysis:**

- Analysis covers a problem that recurs across space and time.
- A framework can be applied successfully to a variety of situations.
- A set of hypos from the framework are only valuable if they are falsifiable.
- Do not prove the obvious.
- Match questions to variables, actors, relationships, and data.
- Run the test and be prepared to interpret all of the possible outcomes.

- **Evaluate:** (Week13)

- Producing multidimensional impact assessment.
- Assessment of intervention results.

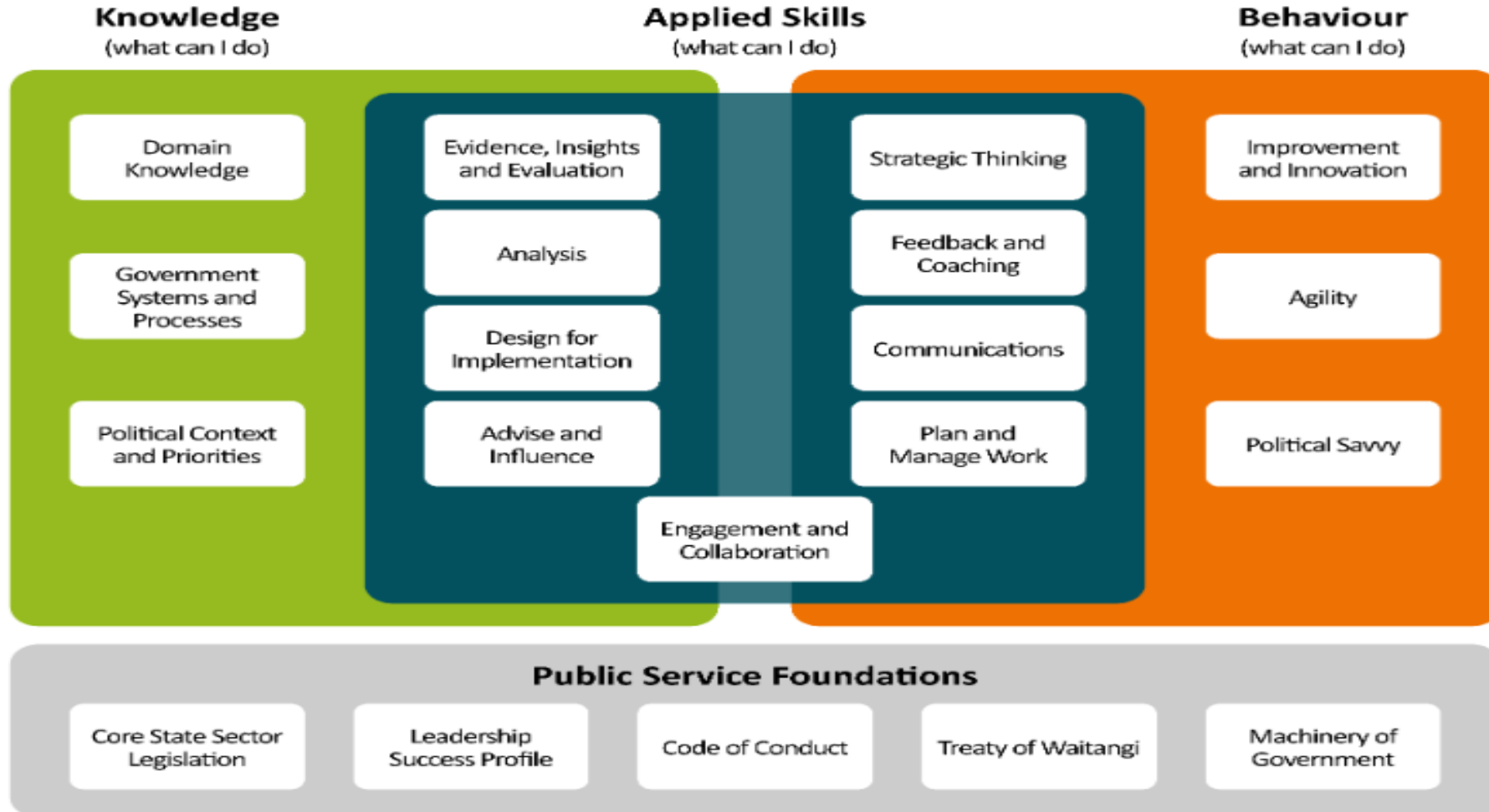
Writing well

- Use the least amount of words possible.- edit, edit, edit
- Have a clear idea.
- Create a blueprint.
- Get multiple feedback.
- Embrace criticism.
- Use peer review, learning commons, communicate with profs before sinking in too much time.
- Writing allows for complexity but this requires depth of reflection and time for creating multiple layers of questions, logic, and testing.

Policy Analysis Principles

- Learn to focus quickly on the central decision criterion of the problem
- Think about the types of policy actions that can be taken
- Avoid the tool-box approach to analyzing policy
- Learn to deal with uncertainty
- Say it with numbers
- Make the analysis simple and transparent
- Check the facts
- Give the client analysis, not decisions
- Push the boundaries of analysis beyond the "policy envelope"
- Be aware that there is no such thing as an absolutely correct, rational, and complete analysis

Policy Skills Framework



Questions for Policy Analysts at Each Stage of the Process

Stage of Policy Process	Policy Analysis Questions
Problem Identification	What is the problem? What will happen if we do nothing?
Evaluating Alternatives	What should the goals be? What option or mix of options offers the greatest benefits at the least cost?
Selecting Alternatives	Which option is the most viable? Which is the most cost-effective? Which is the most feasible?
Implementation	What is necessary to obtain successful implementation?
Evaluation	Is it working? Is the program cost effective? Are the outcomes equitable? Are the goals and objectives being accomplished?
Policy Change	Do the current programs need to be changed? Are new policies needed?
Termination	Is the program worth keeping?

Reference

- John R. Turnpenny, Andrew J. Jordan, David Benson and Tim Rayner, (2016), The tools of policy formulation: an introduction, Downloaded from Elgar Online at 01/21/2016; available at [/ueaeprints.uea.ac.uk/](http://ueaeprints.uea.ac.uk/)
- Policy Analysis Toolkit, (2016) A guide for researchers on being policy-relevant , Center for Economic and Health Policy, Institute for Public Health at Washington University, available at <https://bpb-us-w2.wpmucdn.com/sites.wustl.edu/dist/1/2391/files/2016/03/Policy-Analysis-Toolkit-PDF.pdf>

What next?

- Stake holder Analysis