Intensive Course on Basics of Public Policy

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2 August 2024

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Course Overview

	Morning Session (10:00 ~ 13:00)	Afternoon Session (14:00 ~ 16:00)
2 Aug 2024	Concept of Public Policy	Assignment & Task Division
9 Aug 2024	Research & Doing Policy Analysis	Hands on Using AI tools
16 Aug 2024	Policy Actors & Policy Process	Policy Simulation
23 Aug 2024	Power & Policy Agenda	Elevator Pitch & Policy Brief
30 Aug 2024	Policy Implementation	Policy Workshop

Assignments and Due Dates

Assignment I Policy simulation with Video Pitch	Simulation session on 16 Aug 2024 First Draft of the Video Content on 23 Aug 2024 Video finalize by 19 Sept 2024
Assignment II Analysis of Future Focused Public Policy issues	Policy Analysis Topics by 9 August 2024 First Draft of the Poster Content on 23 Aug 2024 Poster Content finalise by 13 Sept 2024

Useful Readings

Araral, E., Fritzen, S., Howlett, M., Ramesh, M., & Xun, W. (Eds.). (2015). *Routledge handbook of public policy*. London: Routledge.

Fischer, F., & Miller, G. J. (Eds.). (2017). *Handbook of public policy analysis: theory, politics, and methods*. Routledge.

Buse, K., Mays, N., Colombini, M., Fraser, A., Khan, M., & Walls, H. (2023). *Making Health Policy, 3e*. McGraw Hill.

Bardach, E., & Patashnik, E. M. (2019). *A Practical Guide for Policy Analysis: The Eightfold Path to More Effective Problem Solving: SAGE Publications.*

Rochefort, D. A., & Cobb, R. W. (1993). Problem definition, agenda access, and policy choice. *Policy studies journal, 21*(1), 56-71.

Weimer, D. L., & Vining, A. R. (1999). Correcting market and government failures: generic policies. *Policy Analysis: Concepts and Practice*, 196-252.

Day I Concept of Public policy

- What constitute public policy?

- Policy statement

- Historical overview

- Interdisciplinary linkages

- Policy classification

- Policy Attributes

- Policy development

- Policy Theories and framework

What Constitutes Public Policy?

- E.g. A government report highlighting the increase in homelessness.

  A document or report on social problems?

- E.g. A political party promises to reduce EV tariffs during their campaign.

  Election Promises?

- E.g. A declaration by the government to promote equality and inclusivity.

  Statement of values and commitment?

- E.g. The national budget outlining funding allocations for health and education.

  The **budget papers?**

- E.g. A local council's decision to implement a recycling program.

  Action taken by **those** with responsibilities?

- E.g. A government announcement to increase corporate tax rates.

  Media Statement?

- E.g. The informal practices within a community that prioritize local hiring.

  Unspoken rules culture?

Policy Definitions

- The action of government and the intention that determine those actions (Cochrane et al 2005).

- Whatever government choose to do or not do is public policy (Dye 2005).

- Policy is a general term and as described as a formal decision or plan of action adopted by an actor...to achieve a particular goal. Public policy is a more specific term applied to a formal decision or plan of action that has been taken by or that involve state or state organization (Richard and Smith 2002).
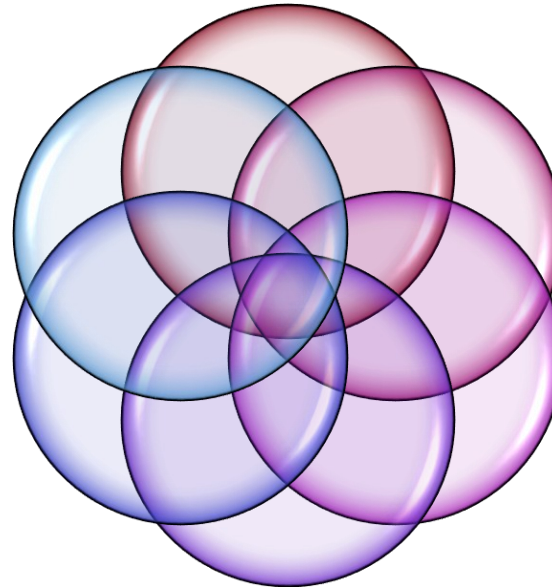
Key Takeaways

Government Action	Implementing a new national infrastructure project.
Intentions Behind Actions	Reducing carbon emissions to combat climate change.
Do or Not Do	Choosing not to regulate a new tech industry to boost innovation.
Formal Decisions	A national education policy to improve literacy rates.
State Involvement	A law passed by the legislature to regulate internet privacy.

Characteristics of Public Policy

Intentionality: Deliberate actions aimed at achieving specific goals.

Dynamic: Policies evolve over time based on new information, societal changes, and political contexts.

Goal-oriented: aimed to meet particular objectives, such as improving public health or education.

Authoritative:Enforced by governmental institutions and have legal standing.

Problem-solving: often developed in response to identified problems within society.

Public-focused: address the needs and interests of the public, populations' welfare

Principles of Public Policy

- **Legitimacy**: based on legal authority and be accepted by the public.
- **Accountability**: Policymakers are responsible for their actions and must answer to the public and other government branches.
- **Transparency**: The policy-making process should be transparent, allowing public scrutiny and participation.
- **Equity**: Policies should aim to be fair and just, providing equal opportunities and addressing disparities.
- **Efficiency**: Policy options should maximizes benefits and minimizes costs.
- **Sustainability**: Policies should be designed to provide long-term benefits without compromising future generations' ability to meet their needs.
- **Participatory:** Engaging public in the policy-making process for policy acceptance.

Understanding Policy Statements

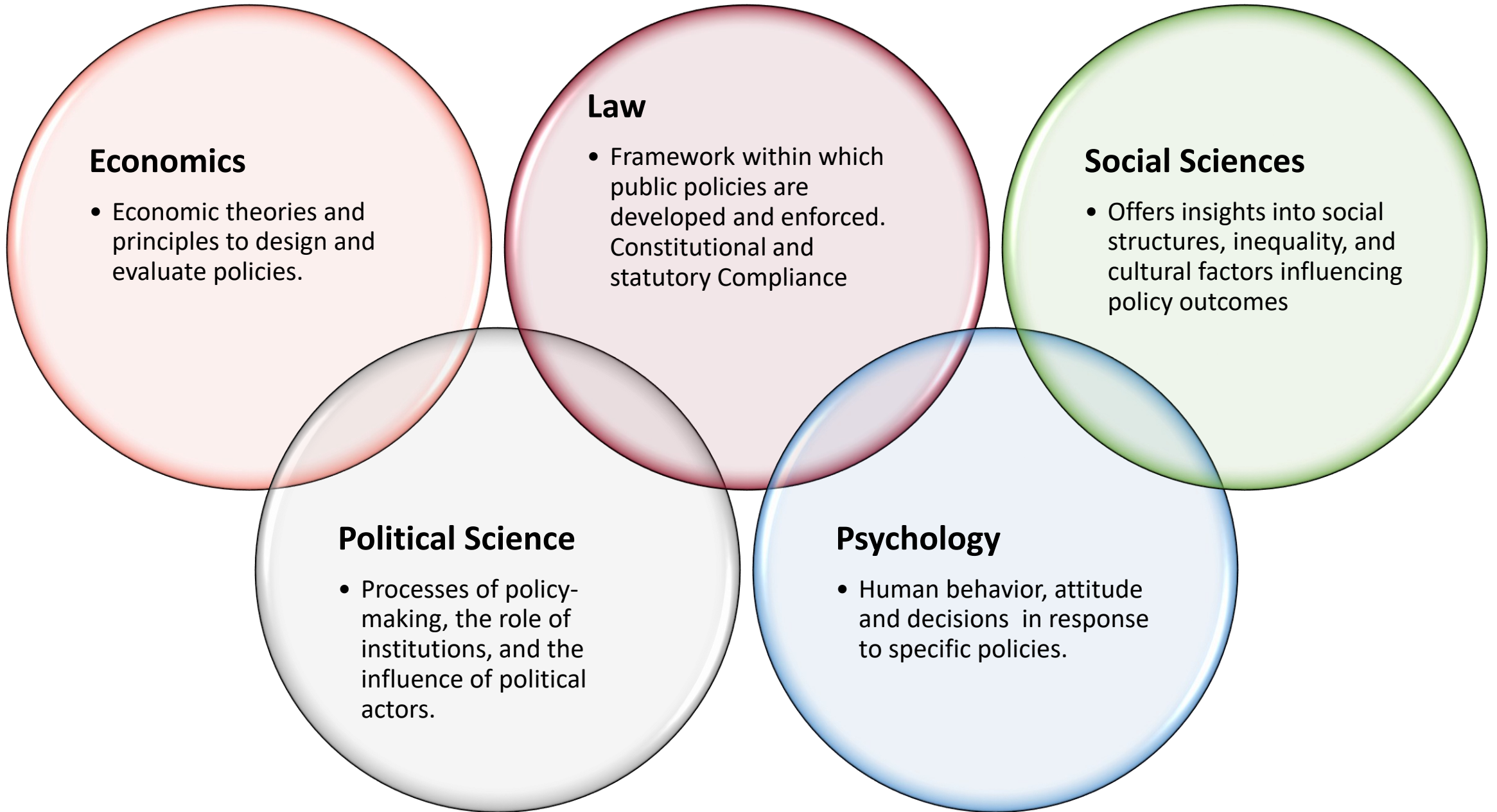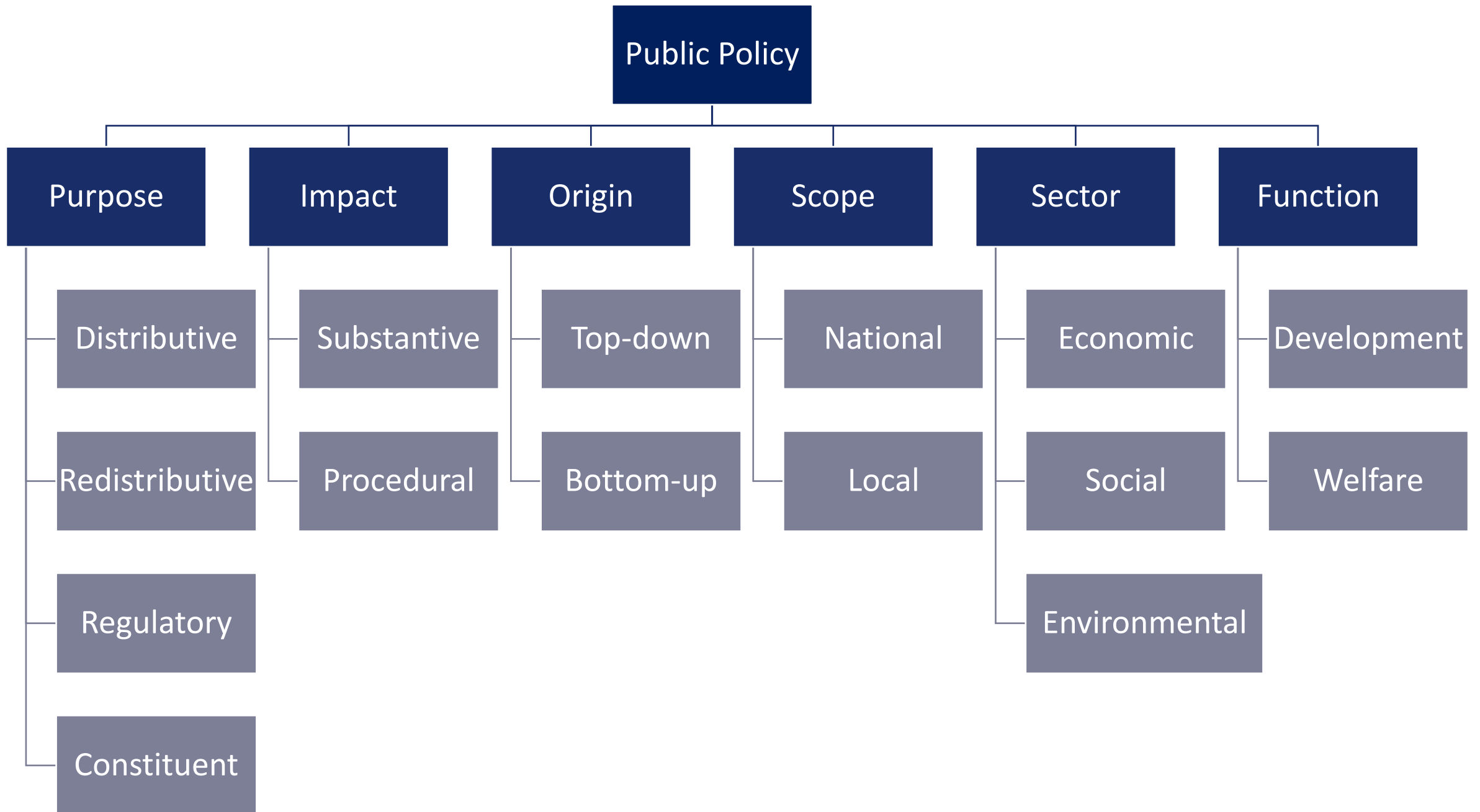|	
Values and Inspirations of Society	• Sustainable energy for all by 2030
Intent and Activity of Public Agency	• Urban transport will be coordinated through a comprehensive public transit policy.
Values and Routine Practices	• Citizens requiring immediate emergency services will receive priority response.
May cover inputs, Processes, and Outcomes	• US$ 1.5 million will be allocated for teachers training to increase school completion rate to 90%

Era	Key Developments
Ancient Civilizations	• Establishment of basic governance and rule-making • Hammurabi's Code in Babylonian Empire for punishment of serious offences
Medieval Europe	• Feudal system and emergence of centralized monarchies • Magna Carta in England to limit the power of monarch
Industrial Revolution	• Rapid urbanization and social challenges • Factory Acts in England to improve working conditions of women & children
Progressive Era	• Focus on social reforms and regulation • Sherman Antitrust Act in US to prohibit monopolies and cartels.
New Deal Era (1930s)	• Government intervention to address economic crisis • Social Security Act in US to provide retirement benefits
Post-World War II	• Expansion of the welfare state • Universal Declaration of Human Rights (United Nations)
Pre-Millennium	• Globalization and deregulation • Telecommunications Act of 1996 in US to deregulate IT companies
Post-Millennium	• Increased government intervention and focus on social issues • Affordable Care Act in US to expand health insurance coverage
Post COVID Era	• Rise of AI and digital transformation • EU AI Act to regulate use of AI in Europe

Economics
- Economic theories and principles to design and evaluate policies.

Law
- Framework within which public policies are developed and enforced. Constitutional and statutory Compliance

Social Sciences
- Offers insights into social structures, inequality, and cultural factors influencing policy outcomes

Political Science
- Processes of policy-making, the role of institutions, and the influence of political actors.

Psychology
- Human behavior, attitude and decisions in response to specific policies.

Public Policy

Purpose	Impact	Origin	Scope	Sector	Function
Distributive	Substantive	Top-down	National	Economic	Development
Redistributive	Procedural	Bottom-up	Local	Social	Welfare
Regulatory				Environmental	
Constituent					

Distributive Policies	Provide goods and services to specific groups. E.g., Agricultural subsidies
Redistributive Policies	Reallocate resources from one group to another. E.g., Welfare programs.
Regulatory Policies	Restrict or mandate certain behaviours. E.g., Safety standards.
Constituent Policies	Relate to the structure and process of government itself. E.g., Electoral reform
Substantive Policies	Directly address specific issues and provide tangible benefits. E.g., Healthcare reform
Procedural Policies	Outline the processes to implement substantive policies. E.g., Administrative rules.
Top-down Policies	Initiated by higher levels of government or authorities. E.g., Federal laws.
Bottom-up Policies	Arise from grassroots movements or local demands. E.g., Community development programs

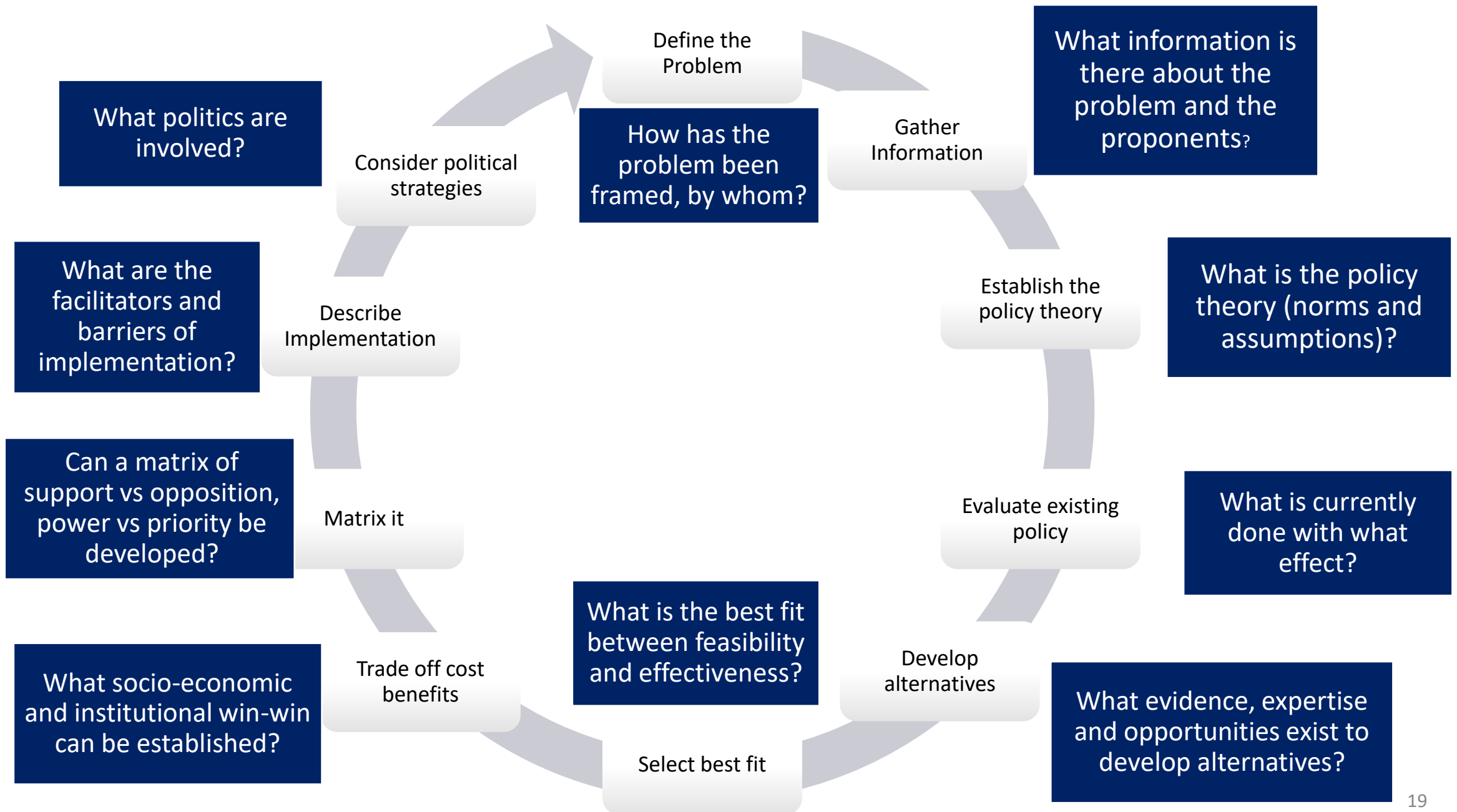|	
National Policies	Apply to the entire country. E.g., Federal education standards.
Local Policies	Apply to specific regions or municipalities. E.g., City zoning laws.
Economic Policies	Affect the economic activities of a country. E.g., Monetary policy, fiscal policy.
Social Policies	Address social issues and improve societal well-being. E.g., Health insurance.
Environmental Policies	Aim to protect and sustain the environment. E.g., Payment for ecosystem service
Development Policies	Promote economic development and growth. E.g., industrial policy.
Welfare Policies	Ensure the welfare and well-being of citizens. E.g., Unemployment benefits.

Policy Attribute (Colebatch HK, 1998)

- **Multiple Meanings**: Can be interpreted in various ways depending on the context and stakeholders involved.
- **Multiple Uses**: Serve different purposes, such as guiding decisions, solving problems, and setting standards.
- **Multiple Makers**: Created by various actors, including government officials, interest groups, and the public.
- **Multiple Areas**: Apply to different sectors, such as health, education, environment, and economy.
- **Multiple Issues**: Address a wide range of issues from social justice to economic development.
- **Multiple Processes**: The policy-making process involves multiple steps, including formulation, implementation, and evaluation.
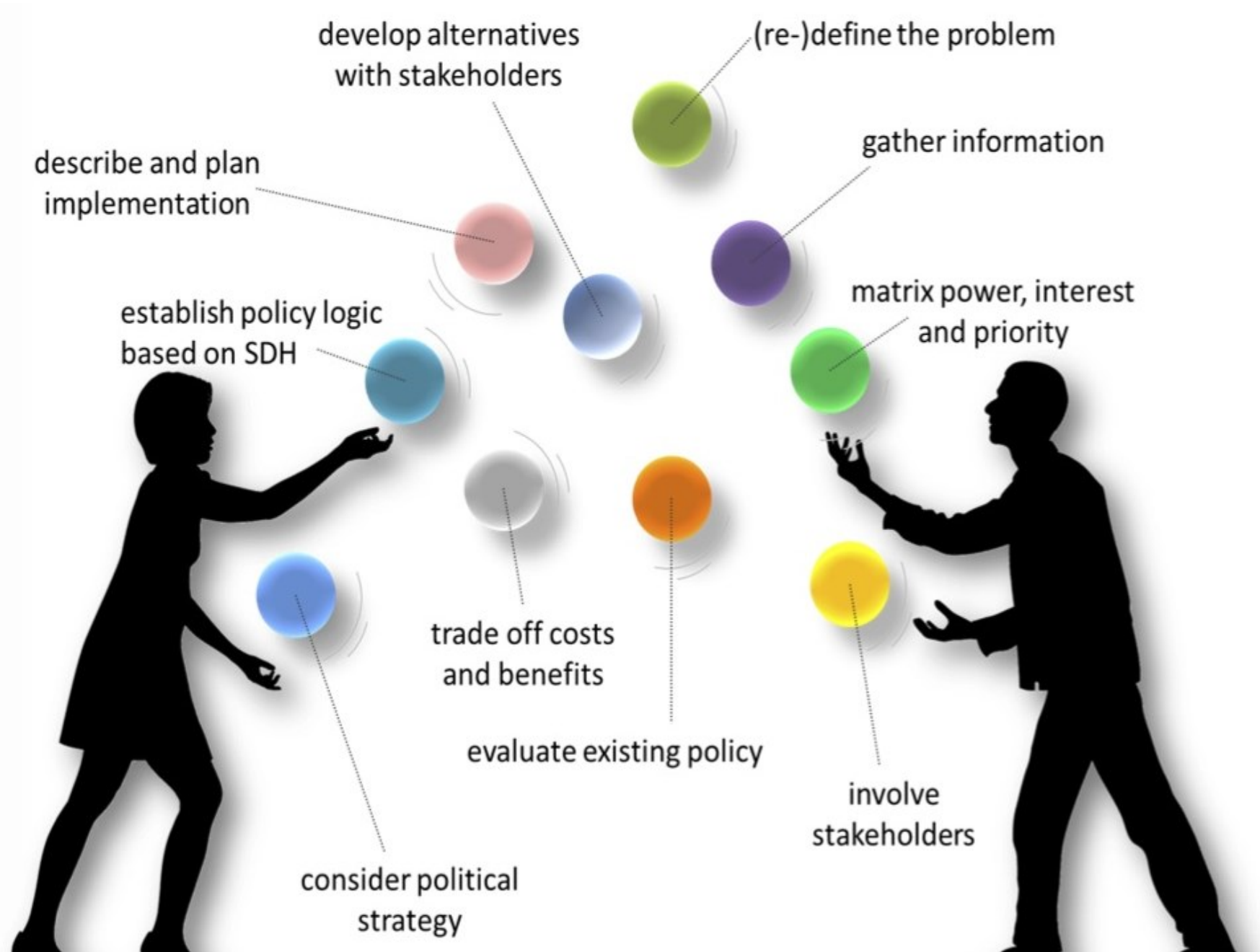
Policy Attributes: Authority

Authority: Backed up by legitimate power and formalized through legal and institutional frameworks.

Expertise: Effective policies are evidence based. Involves gathering expertise.

Order: Involves the creation of shared understanding. Matter of negotiation and trade off

develop alternatives with stakeholders

(re-)define the problem

gather information

describe and plan implementation

establish policy logic based on SDH

matrix power, interest and priority

trade off costs and benefits

evaluate existing policy

involve stakeholders

consider political strategy

Policy Realities

- Prescribed institution and rule for decision making – legislation

- Formal consultation process – bureaucracy, legislated body or other formal bodies

- Political process – within parry and parliament

- Involves evidence and contingency (argument and politics) – evidence need to be constructed in certain ways

- Tension between action and context

Complex

Cause and effect may be identifiable in retrospect, but may be unlikely to conform with prior expectations how things work. Interventions must be flexible as outcomes may be unforeseen

Complicated

Cause and effect may be unclear at the time, but can be inferred using data, analysis and expert knowledge. Once understood, rules for intervention can be defined and followed

Disorder

Chaotic

Cause and effect relationships may be speculated in retrospect, but cannot be validated. Interventions must be approached as a learning exercise: act, sense, then revise if necessary
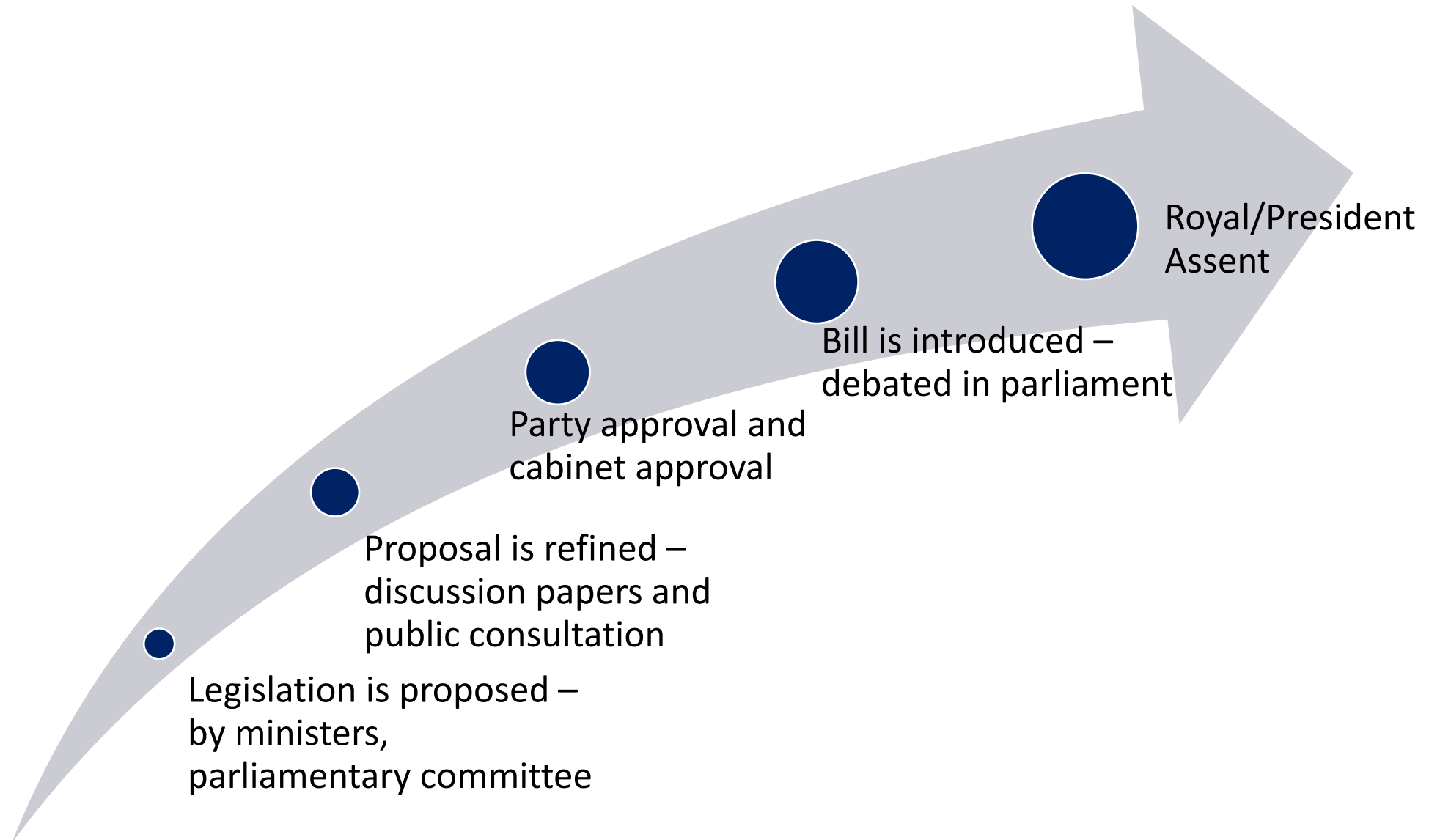
Simple

Cause and effect is predictable and the appropriate response to definable situations can be codified in Standard Operating Procedures which then drive interventions.

Policy Realities

- Prescribed institution and rule for decision making – legislation
- Formal consultation process – bureaucracy, legislated body or other formal bodies
- Political process – within parry and parliament
- Involves evidence and contingency (argument and politics) – evidence need to be constructed in certain ways
- Tension between action and context

Policymaking: Law

Royal/President Assent

Bill is introduced – debated in parliament

Party approval and cabinet approval

Proposal is refined – discussion papers and public consultation

Legislation is proposed – by ministers, parliamentary committee

Policymaking: Resource Allocation

Develop proposal: 6 to 9 months in advance

Negotiation with Ministry of Finance: 3 to 9 months in advance

Negotiation within cabinet: 3 months in advance

Budget announcement

Budget bill to parliament: within 3 months

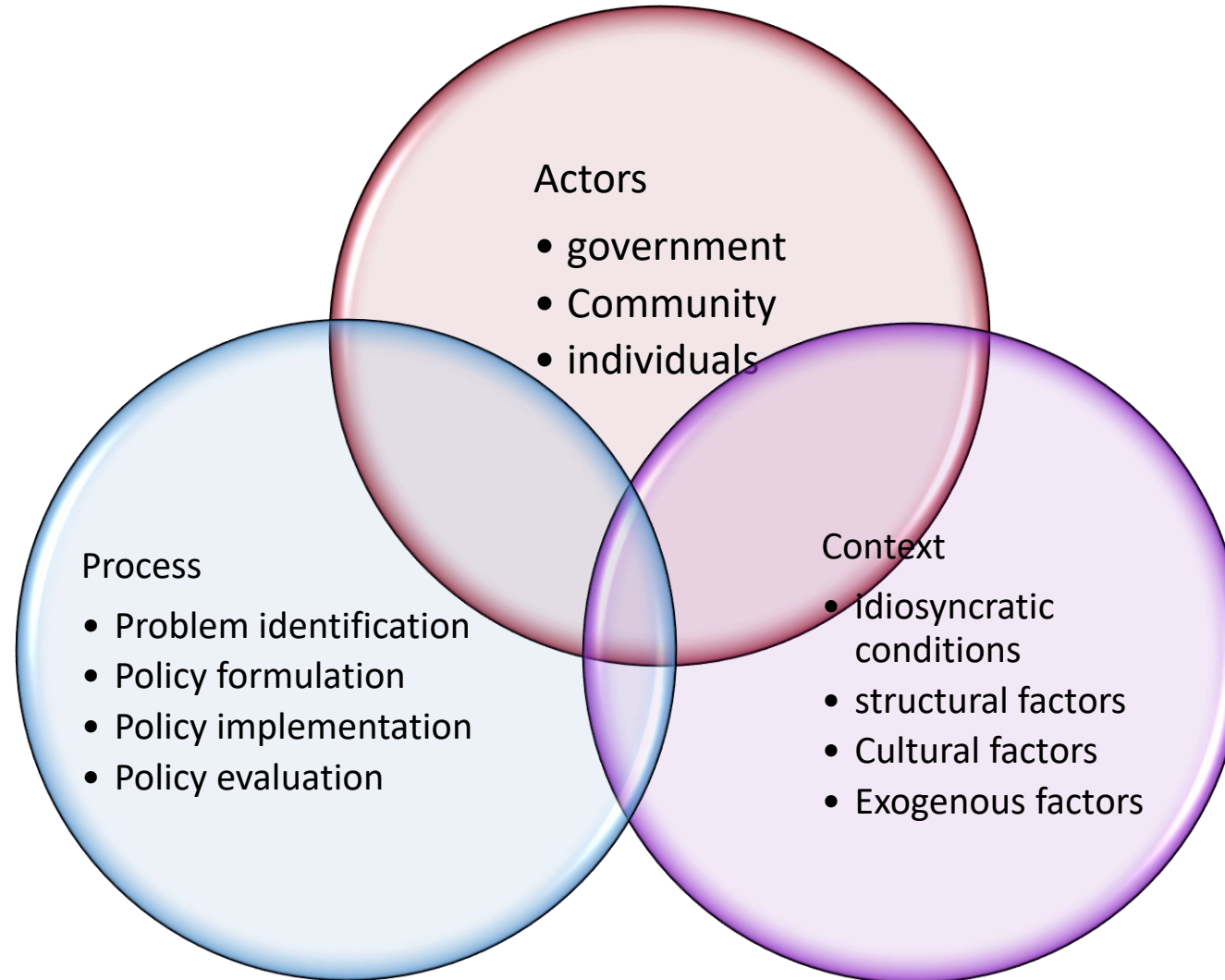Budget flow: 3 to 6 months

Theories in Public Policy

Elite Theory	A minority of economic, political, and social elites influence policy decisions	Cigarette tax influenced by tobacco companies.
Group Theory	Competition among interest group and balance of power	Labor laws shaped by negotiations between unions and employer associations.
Institutionalism	Policy is shaped by the structures and processes of government institutions.	The impact of legislative structures on policy development.
Rationale Choice Theory	Policymakers make decisions by weighing costs and benefits to maximize their the public interest.	Economic policies designed to incentivize certain behaviors.
Incrementalism	Policymaking is a gradual process of small changes rather than radical reforms.	Gradual increases in social security benefits.

Theories in Public Policy

Advocacy Coalition Framework	Policy change occurs through the competition and collaboration of different coalitions.	Environmental policy changes driven by advocacy groups and scientific communities.
Punctuated Equilibrium Theory	Policymaking is characterized by long periods of stability interrupted by short periods of rapid change.	Major legislative reforms following a crisis.
Multiple Streams Framework	Policy windows open when problems, solutions, and opportunities align	Policy reforms that happen when public attention, political will, and viable solutions converge.
Path Dependency	Historical decisions and established practices influence current policy options.	The persistence of certain welfare policies due to historical precedents.

Policy Triangle: Buse, Mays & Walt

Actors
- government
- Community
- individuals

Context
- idiosyncratic conditions
- structural factors
- Cultural factors
- Exogenous factors

Process
- Problem identification
- Policy formulation
- Policy implementation
- Policy evaluation

Conclusion

- The actions and intentions of government to address societal issues, reflecting what governments choose to do or not do.

- Public policies reflect societal values, guide government activities, and outline routine practices.

- Interdisciplinary, intersecting with economics, political science, law, psychology, and social sciences to comprehensively address complex issues. Each field provides unique insights and methodologies that shape effective policies.

Conclusion

- Policies can be classified by purpose, impact, origin, scope, sector, and function. Understanding these classifications helps in analyzing and designing effective policies.

- Public policy has multiple meanings, uses, makers, areas, issues, and processes, but shares common attributes: authority, expertise, and order. These attributes ensure policies are legitimate, informed, and consistent.

- Policy theories offer diverse lenses to understand policy-making processes and changes. Policy triangle is an over-simplified framework used specially in public health. It ignores the non linear aspects of policy process.

Thank You !