

Public Policy

Thomas R. Dye says "Public policy is whatever government chooses to do or not to do."

Public policies are goal oriented, formulated & implemented in order to attain the objectives which government has in view for ultimate benefit of the masses.

Characteristics of Public Policy:-

- Public policy making is a complex process. It involves various components which are interconnected & interact in diff ways.
- It is a dynamic process which changes with time.
- Lays down major guidelines rather than detailed instructions
- Directed at future; Aims at achieving what is in public interest
- Policy making comprises various components and every component or structure makes a different sometime unique contribution to public policy.

Types of Public Policy:-

- i) Substantive:- Concerned with general welfare & development of the society. Like provisions of education, employment. These do not relate to any particular group of society.
- ii) Regulatory:- These are concerned with regulation of trade, business, etc.

- ⑪ Distributive:- These are meant for specific segments of the society. It can be in the area of grant of goods, public welfare, health etc.
- ⑫ Redistributive:- These are concerned with rearrangement of policies which are concerned with bringing about socio-economic change.
- ⑬ Capitalization:- Under these policies, financial subsidies are given by the union govt to state or local govt. No provision for public welfare ^{made} ~~made~~ through this.

Policy Cycle:-

Policy formulation → policy interpretation → policy evaluation
 policy implementation ← policy evaluation

- i) Policy formulation:- In a democracy, there are various ways through which govt's attention can be drawn towards problems that need its consideration, e.g. through representatives, news, social movements, interest/pressure groups etc.
- Once a problem has been brought into policy ~~agenda~~ agenda, process begin to shape govt response, objectives, targets & goals

Three major components of policy need to be decided

- i) First is concerned with setting of goals & objectives. A perspective has to be determined which should be able to generate broad goals of a policy. Alternative policies have to be generated and a choice has to be made among them.
 - One imp. consideration in setting these goals is that whether they are implementable or not. Policies & goals should be realistic.
- ii) Second is strategy needed to implement the policy. For, there can be many ways to help poor. They can be given food, shelter at lower rate or they can be given employment opportunities. Thus it has to be decided that what type of strategy needs to be adopted to help poor.
- iii) The implementation machinery has to be determined. Some strategies may demand new administrative setup. Some may require only increased financial outlay. The role of bureaucracy and NGOs also has to be specified.

Policy design has to identify interlinkage & interdependencies among personnel and material. If design is faulty, it will have its impact in implementation process.

- Formulating a policy req. skill & competence among the policy makers. Decision makers may also be influenced by their ideologies, caste & class interests or regional, ethnic loyalties.

Constraints in Policy making :-

- Inadequate expertise and skills among policy makers.
- Lack of clarity of goals and emphasis on short term benefits.
- Political interference, lack of people's support, non-involvement of socially enlightened groups.
- Faulty policy designs, non existence of policy education, improper monitoring and ~~also~~ evaluation.
- Problems in resource assessment and resource availability.
- Dependency on too many organizations and inter-ag. conflict.
- Uncertain political environment; Different ideologies of different parties in coalition era.

Policy making in developing & developed countries read from book.

Role of Culture, Ethics & Values in Policy making :-

- Orientation towards government and politics within a society is called political culture. Within a political culture one may distinguish between elite & mass sub culture.
- Culture is aggregate of learned, socially transmitted behaviour patterns and characteristics of a society.
- A political system is influenced by culture prevalent in the society and it also influence the culture.

- Values, attitudes, beliefs, traditions of different cultures and sub culture could not be put to minimal by policy makers while formulating the policy.
- Different subcultures ought to keep in mind during policy making. The policies formulated having reflections on the cultural aspects are not tolerated.
- No group or subgroup even tolerate that accepted beliefs and orientations having acceptability are done away with by having one policy.
- Ethics has an imp role to play in policy making.
- Preservation of basic dignity of human beings, protection of ©, upholding democratic spirit, care for sentiments, beliefs are some of the points which could be termed as ethical code.
- Policy makers have to make policies in accordance with the fact that sense of being unethical is not reflected.
- Equality, justice, fairness etc. could not be put at stake for short term goals.
- Growing awareness among people, role of political parties, NGOs keep a vigilant check on policy maker and any unethical action would not be tolerated.

- A concept of what is desirable or good is known as value.
- Values are internal, subjective concepts that postulates std. of morality, ethics etc.
- These elements in values sometimes create problems for policy makers. Conflicting goals within society inhibit the effective utilization of scientific information for policy purposes.
- Value questions involves ~~at~~ conflict among objectives that almost everyone holds. These conflicts create technical or design difficulties.
- The values prevalent in the system have to be regarded but in a suitable, objective & ethical way, whereby values and facts are integrated while framing the policy.
- Six major social values that emerge during policy issues.

- ↳ equality among individuals
- ↳ individual freedom
- ↳ order within society
- ↳ justice for individual
- ↳ legitimate decision making process
- ↳ efficiency of govt. operations

Need for Systematic Public policy study :-

- Since nature of public policy process is so complex, it is imperative to have systematic public policy study.
 - The increase in state's role in development activities calls for emphasis on public policy study.
 - Study is needed to assimilate public policy making with the changing environment, growth in S&T & new development trends
 - It assume imp. because to assimilate new knowledge into policy making machinery quickly and scalably.
 - Careful ^{analysis} political, social, economic ^{changes} ~~analysis~~ must be done and whenever possible these changes must be made in policy process.
 - To integrate views of state, market & civil society organisations.
- Problems in Public policy making study :-

- i) The study of public policy lack systematic empirical analysis. And most of the empirical work is in the form of case studies. This present public policy study lacks in established generalized conclusions.
- ii) With a few exceptions, most of the studies on public policy making do not have a theoretical framework and are not significantly related to the current work in decision making theory.

- iv) Most of the material continue to appear in biographies, memoirs, journalist description etc.. These are neglected by students of behavioural sciences
- v) Almost all empirical studies reflect an orientation towards reform, since they aspire to be ~~value~~ ^{value free}
- vi) Research methods for such complex process is underdeveloped.
- vii) Few studies have been done on high level public policy making process. Decision making at higher govt bodies is surrounded by secrecy and no access to it granted for research process.

Meaning and Importance of Policy Science :-

- Policy science is a systematic and scientific study of public policy. Public policy is governed by certain principle.
- * Policy science strives to establish causal relations - for the success & failure of certain principles.
- The main concern of policy science is with the understanding and improvement of public policy making systems.
- Acc. to Y. Alvar it includes:
 - g) Policy analysis which provide policy alternatives
 - y) alternative innovation, which deals with the invention of new designs & possibilities to be considered in policy making.

iii) Master/Mega Policies, which provides guidelines, strategies to be followed by specific policies.

iv) evaluation & feedback

v) improvement of meta policy or policy for policy making.

- Theoretical insights provided by policy science is very important since they provide both explanation & direction.
- These explanations help avoiding occurrence of same mistakes again, it sees each successive policy benefit from previous policy.

Policy science assume significance because of its scope for comparative perspective. As public policies are universal and each country pursue certain set of policies, a science can always benefit from comparative perspective.

Public policies embrace every aspect of social life, therefore policy science can draw from the works of the other disciplines like economics, sociology, history, S&T etc.

Policy science tries to contribute to value choices by exploring values implications, value inconsistencies, value costs etc.

The more policy science develops, the more should the policy making system be redesigned to avail itself of policy science knowledge & more should politics be reformed to allow full symmetrical political power & policy science knowledge.

Role of Bureaucracy in Policy making :-

- Process of policy making no longer confined to political executive. Bureaucracy play an imp. part in policy making process.
 - Emergence of welfare state has added new dimensions to the expansion of bureaucracy.
 - Bureaucracy help the executive in identifying major policy areas, preparing major policy proposals, analysing alternatives, dividing major policies into subpolicies, determining program of action and suggesting modification in existing policy.
 - Their role can be categorized into three broad activities
- ① Informative :- ② engages itself in collection of relevant data & info to identify cause of the problem.
- It has to determine what type of info req, to what extent info is substantive & how can it be put to best use
 - Govt has to substantiate its policy proposal to get public support. ② provides necessary info for this substantiation.
 - Informative role of bureaucracy relates to laying down of an objective base for systematic framing of policy & providing the needed data for substantiating the proposals.

ii) Suggestive:- As (B) is engaged in collection of data, it become acquainted with various problems & issues facing the country. (B) at secretariat level is considered as think tank. of govt

- + Due to this (B) play suggestive role in policy making
- + It helps the executive in identifying policy issue by suggesting about nature of problems & need for taking up certain issues for consideration.
- These suggestions are based on admin. skills and capabilities.
- The suggestive role is also related to submission of several alternative solutions to a given problem.

iii) Analytical:- After crucial issues are identified for policy considerations, it has to ascertain that such issues could make p viable policies or not

- (B) engages itself in analyzing pros and cons of the issue that is taken up. It frames & reframes policy proposal keeping in view its viability, future prospects resource availability etc.
- It is responsibility of (B) to analyze policy proposal in the relation to provisions of constitution, laws framed by Parliament
- In this way (B) help in framing sound & effective policy.

Role of Judiciary in Policy making :-

- Although Policy making is primarily concerned with executive - both political & permanent, but Judiciary also play a part in policy making although indirectly.
- All policies are formulated keeping in view the existing laws & legal procedures.
- Judiciary enters areas of policy making delivering suggestive or advisory judgements aimed at effective achievement of the goals of the country as contained in the preamble and constitution.
- Judiciary ensures that only such policies are framed which are in accordance with provisions of constitution.
- In negligence on the part of govt in not formulating a policy or not implementing all provisions of policy, is taken very seriously by courts. In such cases specific directions are issued to the concerned authority.
- Judiciary ensures that all policies are aimed at the protection of the national interest and are likely to improve socio-economic development.
- It has helped govt formulating policies in such a manner that does not dispute with F.R., 20th & 25th CAA were struck down. Its judgements have moulded the thrust & contents of the policy.
- Some policies are partly struck down & certain directions are issued which are mandatory to be followed by the govt.
eg. Bhopal Gas leak case

Role of mass media in influencing policies:

- Three types of role which mass media can play
- i) Informative Role: Mass media reflect the real life problems, needs & aspirations of various classes & groups of society. Such info provides valuable inputs to policy formulations.
- Mass media enlightens policy makers with info relating to latest scientific & tech achievements.
- Mass media also present public reactions to govt. policies. Such info is very useful for the evaluation of policy outcomes. This evaluation may lead to major or minor changes in existing policies.
- ii) Orientation Role: Any policy can be either elite-oriented or mass oriented. The ~~choice~~ choice lies b/w the two and media can assist the former or latter.
- It is quite natural that ^{as} policy makers these elite would lean towards elite-oriented policies rather than mass oriented policies.
- By lending support to mass-oriented policies, the mass media can play a significant role

- iii) Suggestive Role: Democratic values are essentially pluralistic. Policy makers in a democratic system are always left with the multiplicity of choices & policy decision involves making a choice among available options.
- Mass media not only stimulate discussions of the various choices available but also make specific suggestions in favour of one particular choice or other. Such suggestions make the policy makers' task easier.
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Policy Evaluation:

- The impact of policy whether direct or indirect, immediate or futuristic, symbolic or tangible is ascertained and measured through process of policy evaluation.
- It is a means of getting into the policy makers relevant info regarding a policy problem, about relative purposefulness or effectiveness of past & strategies for reducing problems & regarding the observed effectiveness of specific policies.
- Because of such knowledge, uncertainty in policy is reduced, admin accountability is enhanced, & admin control over policy is appropriately increased.
- Policy evaluation starts not only after policy is formulated & implemented but also starts right from identification of various issues for making policies.

- Daniel Lerner has talked of three types of evaluation

i) Process Evaluation: Process evaluation emphasises that whether a specific policy has been implemented with in accordance with the policy guidelines or not. It also evaluate whether intervention efforts based on strategies have been taken up as specified in the policy design or not.

ii) Impact Evaluation: In it the efforts are to evaluate the changes, both positive & negative, in terms of goal attained or not of policy. The conditions prevailing before the implementation of the policy & after that are reviewed in order to bring to fore the impact of the policy.

iii) Comprehensive Evaluation: It is the culmination of both ~~are~~ the process and impact evaluation. Both combined with each other bring to light what actually is the outcome or how it has been made possible, what are drawback etc. It is most useful out of all three evaluation.

- Some of the routine approaches to policy evaluation

i) Front-end analysis: It is pre-policy making evaluation. The need & magnitude of the problem, kind and number of persons to be affected, amount of cost, cost benefit feasibility are some of imp. parameters which are taken care before policy making.

- 1) Process Evaluation: Same as described earlier
- 2) Effectiveness evaluation: In it emphasis is on outcome of the policy, how good or bad it is implemented. What is relationship of the outcomes with the effectiveness of the implementation of a policy is evaluated.
- 3) Problem monitoring: The major purpose is to inform on problem characteristics or to track program process in several areas.
- 4) Evaluation synthesis approach: It is highly versatile approach, it synthesises or reanalyzes the results or finding from one or number of evaluations for determining what has been known about policy. It has capability to address various evaluative questions. It could be both quantitative as well as qualitative.

- Other criterias followed for policy evaluation may be
- efficiency - cost benefit analysis
 - effectiveness - outcome oriented rather than i/p - o/p oriented
 - equity - whether to benefit most needy & vulnerable
 - adequacy - whether able to satisfy categories which need attention
 - responsiveness - analysing from the perspective of demand emerging from citizen & category of society
 - utilitarian - whether policy is able to benefit larger category of people.

(24) Dilemmas & Problems:-

- In the words of Heraclitus, "it is not possible to step into the same river twice; other and yet other water are flowing on."
- The present world and different society and system are changing very fast. Focus of the system being reflected through its policies keep on changing to meet the seq. of improvement and welfare of people.
- Consequently, the policy making and evaluation process is becoming more complex.
- Ethics has place of prominence in policy evaluation.
- With regard to it, ethics refers to a set of normative standards for resolving dilemmas which often policy evaluators face while performing their assigned job.
- Some of the ethical dilemmas which include:-

c) The Optimising Dilemma:- Mostly evaluation reports are predictive. These reports establish relation b/w policy and its objectives and goals. However the need is to have more of prescriptive seq. of the society than to have predictive findings. What is imp to is to have focus on policy problems being translated into policies & its goals & objectives.

ii) Partisan Dilemma :- Many times policies are made keeping in view some specific problems or specific group of people. However what is true of a number of given subsection of society vs a vs policy problem may be true of a no. of subsections. The point is a particular goal could be looked upon ^{by} evaluators based upon their knowledge, info gathering methodology etc.

The evaluators should not fall prey to what political class is aiming at. The reports even if dealing with partisan goals should have the broad and objective spectrum of looking at the things & findings made accordingly. The element of objectivity, social interest, resisting political pressure should be base for same.

iii) Unforeseen Consequences Dilemma :-

During evaluation, evaluators come through consequences that they even not thought of. Normally, while dealing with such consequences evaluators go with by the data & methodology they adopted for known consequences. This could adversely affect the evaluation report. In order to face such situations, evaluators have to develop detailed contingency models to deal with unforeseen events.

1) Equity dilemma! This dilemma is frequent conflict between equity & ~~efficiency~~ efficiency in policy evaluation. Efficiency mainly deals with cost benefit analysis issue while equity is more concerned with equality of benefits. Interpretation of the two depends upon methodology adopted for evaluation & thinking coupled with inclination and pressures on evaluators.

Other problems related with policy evaluation!

- 1) Problem regarding data! Each & every evaluation need specific data. Data acquisition is time consuming and req. techniques & skills. At time people may provide wrong info/data or insufficient data. All these if not taken seriously could affect policy evaluation.
- 2) Problems regarding Modus Operandi! Evaluation task is often assigned to implementation agency. The implementing agency would never make an objective evaluation of the policy.

Further there are not fixed criteria, norms, guidelines set for evaluation process. Lack of interest, element of subjectivity & absence of fixed norms & std. hampers the evaluation process.

iii) Lack of resources: Every task if to be performed well need resources. However overloading^f the govt agencies, lack of faith in NAAC for evaluation, poor research std. of universities & institutions with regard to evaluation all speak of resource bankruptcy of govt with regard to policy evaluation. Shortage of funds coupled with lack of trained manpower further adds to the problem.

iv) Ambiguous policy statement:- Contradiction within policies, contradiction with other policies are some of the points which do not let the evaluators have a clear vision of what he is to do.

v) Seriousness of the report:- Evaluation report, if found negative, is seldom taken seriously by the govt. Instead of making improvement, the efforts are made to point out wrongs done by evaluators.

vi) Presence of too many policies also make it difficult to objectively evaluate the contribution of specific policy in achievement of goal.

vii) Politicization of evaluation; Japan has policy evaluation act but no such act in India / lack of legislative oversight.

→ Suggestions:

- i) Govt should encourage NGOs, universities, institutions for policy evaluation process. Establish specific policy evaluation institutions.
- ii) Adequate resource should be made available to agency
- iii) std. norms, formats, criteria, methodology to be used for evaluation should be made.
- iv) Emphasis should be laid on training personnel involved in policy evaluation.
- v) The implementing agency should be instructed to submit objective report ~~substantive~~ substantiated by relevant facts.
- vi) Efforts should be made to disseminate and co-ordinate info on evaluation.

→ Policy Monitoring:

- Refers to keeping a close look on process of implementation so that any deviation or inadequacy can be identified at the earliest & necessary corrective step could be taken.

Policy monitoring is taken up in background of 6 major steps:

- i) Planning:- scientifically analyzing & putting in place a clear map of service delivery
- ii) Allocation of Resources:- As against the map, what tools & resources is req. where at which stage, to be followed.
- iii) Implementation:- Once prepared & outlined actual implementation takes place.
- iv) Measurement:- Continuous basis measurements of the references are taken up. Close scrutiny of targets.
- v) Evaluation:- Assessing if there is deviation / discrepancies
- vi) Corrective adjustments:- corrective like replanning or even cancellation of activity depending on strategy.

Three major approaches for monitoring:-

- i) Managerial approach:- Highly technical based on network analysis which uses PERT, CPM. A job to be performed to be taken up through no. of single or parallel activities which are successive stages. At each stage time and various resources are outlined & monitoring is done based on them. Largely taken in quantitative activities.

17) Performance measurement Approach:- It is used in activities which are of qualitative nature.

18) Control or Compliance method:- Refers to monitoring approach which has no. of control mechanism.

A theorist Boulding said effective implementation in no. of areas which are coercive or semi-coercive could be taken up through threat, love, persuasion,

eg. Advertisement of Delhi police, custom & excise dept.

Actors involved:-

- 1) Agency itself
- 2) External expert agency
- 3) Independent expert but inside institution
- 4) Independent specialized institution
- 5) Multistakeholder approach.

Essentials for monitoring

- 1) Proper activity mapping; concrete outline of strategies & policies & targets
- 2) Proper outline of methods, approaches
- 3) Multistakeholder approach
- 4) Appropriate expertise & training
- 5) Autonomy & independence
- 6) Ability to act as friend, philosopher, guide to the policy implementors.

Models of Policy making :-

1) Incremental model :- Proposed by Lindbloom & Braybrooke.

- It draws attention to several real life constraints on public administration like time, cost, info, politics etc.
- Prescribed functions and constraints of public administrators restrict their attention to relative few values & few alternative policies.
- Policy makers in actual world of administration have to start with already existing prog. & budgetary allocations.
- Past decisions are more often ~~chosen~~^{accepted} as basis of future choice.
- It conform to real adminst situations.

Advantages :- i) In govt there is mostly problem related to finances. If policies are changed radically, they will require huge finances, hence incremental change can be done with limited finances.

- ii) The new policy might succeed or fail. Once it fails it has huge disastrous effects.
- iii) Success of policy is based on acceptability. The root method may not be acceptable but incremental approach being mutual position adjustment approach is acceptable thus preferred for public policy formulation.
- iv) Under opposition is avoided & local alternatives similar to status quo come up.

Limitations:-

- Change process would be slow and policy alternatives would be limited.
- Various deficiencies of traditional policies may continue for long time
- Innovation of products & services may not be so effective.
- It would be difficult to gain promptly from so fast advancements taking place in the field of S.T.
- It has limitation in the policy research & policy science
 - ↳ in knowledge intensive development.
- State may find it difficult to compete with fast changing market; It would be difficult to develop public service as learning organization as needed in 21st century

14) Pure Rational model:- Y. Dron lists following phases

- i) Complete set of operational goals are brought
- ii) complete inventory of resources & info are there.
- iii) Complete set of alternative policies are prepared.
- iv) complete set of valid predictions are brought.
- v) net expectations of each alternative are calculated
- vi) Alternative with highest net expectation is chosen.

→ It goes for economic decision making. Aim is to maximize output with minimum input.

→ It takes towards more centralization. Communications are of mainly top down order. Decision are objective.

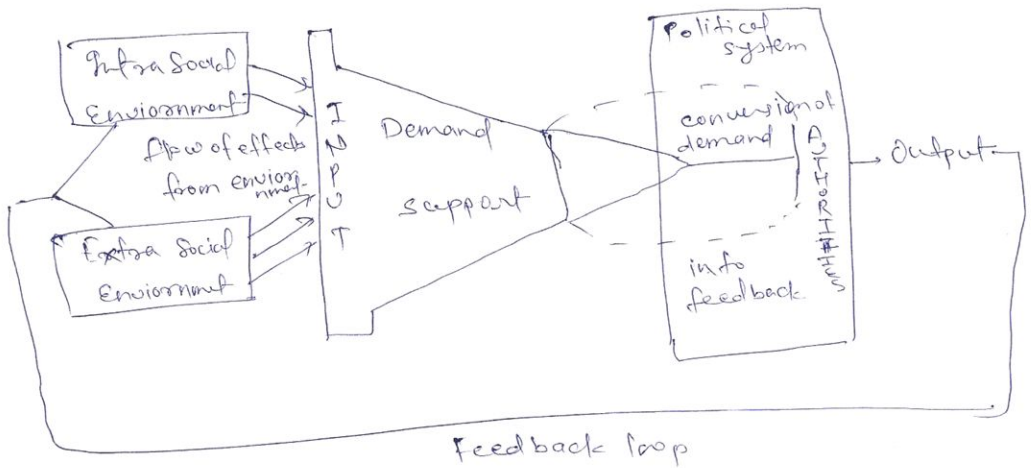
Problems:- It is more theoretical rather than practical.

- In public admin. values are indispensable so it would be impossible to apply this value free approach.
- Neither availability of all information nor prediction of all alternatives is possible.
- In practice there are resources & situational constraints are there which are not properly understood in this model. Through this model decisional & field flexibility may be difficult to promote.

Systems model:- This model is associated with D. ^{Easton}~~Easton~~.

In his view public policy is conceived as the response of political system to demand coming out of the environment.

- Demands & support flow from environment to the political system as input. Demands are claims of individual or group for public action to satisfy their needs/interests. Support is rendered when individual & groups accept the decisions & actions of political system.
- Environment in this Eastonian scheme, stands for all those conditions & events external to the boundaries of political system.



- There is concept of feedback which indicate that public policies may be later changed according to the environment.
- Policy outputs are largely to generate more demands which will lead to further policy outputs. So there is never ending flow of policy making. This model goes to the root of the problem rather than solving the symptoms.
 - Policy interdependencies & policy sub policy linkage is better analyzed in this approach. Issues like environment & development linkage could be better taken care.

Problems :- However it does not tell about what goes on within "blackbox" that is political system. How decision are made could not be known.

- It all depends whether such policy competencies exist among the administrators.

- Distant interlinkage of policies may not be easy to understand.
- Challenges in applying in lower tier of government
- Focus also start shifting from individual/group to system.
- There are too many factors to be effectively taken care,

* Elite Mass Model :- As per this model, public policy is the product of elite, reflecting their values & serving their ends.

- Policy in the social setup^u not decided by masses but by ruling elite. Also changes in public policy are often incremental rather than revolutionary.
- Public service become more dominating establishments rather than acting as servant to the community.
- There is deficiency in ~~aspe~~ aspects of accountability towards general public.
- deficiency in grass root capacity building. Difficult to suitably integrate development & empowerment approach.

Policy Implementation

Role of government agencies:-

Steps Involved in policy implementation:-

- i) Study and understanding of policy document.
 - Seek clarification on any given point or point of ambiguity.
- ii) Break down the policy into different segments. For doing so, target areas, target group, resource required, resources available have to be properly analyzed. ~~Deployment~~
Deployment of resources according to breaking down of policy
- iii) Collecting required data and information regarding the area group who are to be affected. Given policy could have some negative effect on any particular section of society but info collected enables the implementing agency to adopt remedial measures
- iv) Decision on criteria and norms to be followed for implementation.

Perspectives on Implementation:

i) Implementation as ^{Evolution} ~~evaluation~~:-

- Formulated policy has set of goals, objectives, targets which are ~~closely~~ loosely connected together.
- A casual chain b/w multiple goals and objectives is forged by implementation process.
- Changing environmental considerations, vested interest of political parties and influential groups compel the framing of such policies which have rather numerous, contradictory and equivocal goals.
- At times of framing such policies, formulators are not aware of constraints or problems that will be encountered during implementation process.
- Majone & Wildavsky said that "Implementation is shaped by the original policy framing from which it springs"
- + Such problems and constraints should have been thought ~~up~~ during formulation but these appear during implementation
- Consequently the implementer has to ~~answer~~ address several questions. viz. which of the diff. objectives are to be implemented? how is it to be done? which priority to be made?
- Besides, no. of other problems like: support or opposition of target-group, contradiction with some other related policies already in existence, are also noticed at implementation stage.

- Implementation is a critical juncture at which such essentials are included in the policy, instead of inclusion during formulation.
- As policy moves across implementation spectrum, new problems and concern arise and accordingly solutions are derived and policy keep on evolving.
- In essence "policy implementation is an adventure in discovering and realizing new policy dimensions".

ii) Implementation: Work mechanism:-

- Implementation as a process is translated into working through institutions and agencies involved in implementation.
 - Besides planning, hierarchical levels and element of control are essential ingredients of work mechanism of implementation.
 - Lack of these would make it difficult for supervisors to keep check on subordinates and this would adversely affect output.
 - Significant imperatives that must be satisfied by implementation
- i) implementation must through process and action, submit courteously to the legal contents included in policy document.
 - ii) implementing officials' commitment to the task has to be activated and assured.

- 11) Co-ordination must be achieved within working mechanism of implementation and also between internal system (i.e. implementing agency) and external system (political system).

11) Implementation as Politics :-

Process of implementation has elements like bargaining, gaming, accommodating etc., thus making it a kind of political issue.

- Inclinations of implementors and importance of local areas that is target areas & groups play an imp. role in implementing the policy.

12) Implementation as ~~Policy~~ Problem Tracing :-

- No. of problems not anticipated during formulation period appears at the time of implementation.

13) Role of Legislature in Policy Implementation :-

- A strong and an effective administrative apparatus is essential for implementing the policies.
- No longer politics-administration dichotomy exist.
- Admin has been strengthened further in the wake of delegated legislation.
- But it does not mean legislature has no role to play in implementation.

- Legislature has direct control over political executive and indirect control over permanent executive.
- Though the legislature delegate its task to the executive the latter has to formulate & implement policies within the limits set by former
- Mechanism of legislative control

i) Legislative Questions

ii) Adjournment motions

iii) Short Duration Discussions

iv) Legislative committees

v) Financial control

vi) CAG's report

vii) Role of Judiciary :-

- Judiciary also has a role to play in implementation.
- This normally happens when the policy intent is not clearly worded & diff interpretations of the said policies are made.
- Implementing agencies might encroach upon ^{constitutional} ~~fundamental~~ rights of people. In order to check misuse of authority by implementing agencies checks are provided by judiciary.

- Judiciary can strike down a subordinate or delegated legislation in case it is ultra vires of the Constitution.
- Admin. tribunals operate to exercise check on implementing agencies.
- Provisions under art 32, art 227, art 136 provide for safeguards against wrong done by implementing agency.
- "Judges do legislate". It means judges also in a way formulate policies by interpreting, by providing guidelines and by making pronouncements.
- Legislature amends or modify public policy based on judicial pronouncements.
- In federal system, court play the role of fact mediator between two sets of government.
- Power of judicial review

(iv) Role of political executive:-

- political-admin dictatorship no longer exist.
 - politicians also play an imp role in policy implementation.
- i) To advise & suggest bureaucracy to adopt a set line of actions regarding implementation of policies.
 - ii) To emphasise upon mass to co-operate with (B) in implementation.

- iv) To ascertain that policy is implemented judiciously
- v) To provide necessary infrastructure to the implementing agencies
- vi) To ensure that non-govt channels wherever necessary are made use of in a positive manner.
- vii) To keep reg. admin check on implementing agencies
- viii) To keep its communication channels open with bureaucracy for the necessary strategies to be mutually evolved.
- ix) To provide real and genuine leadership to B? for implementation task.

*1 Role of Bureaucracy:

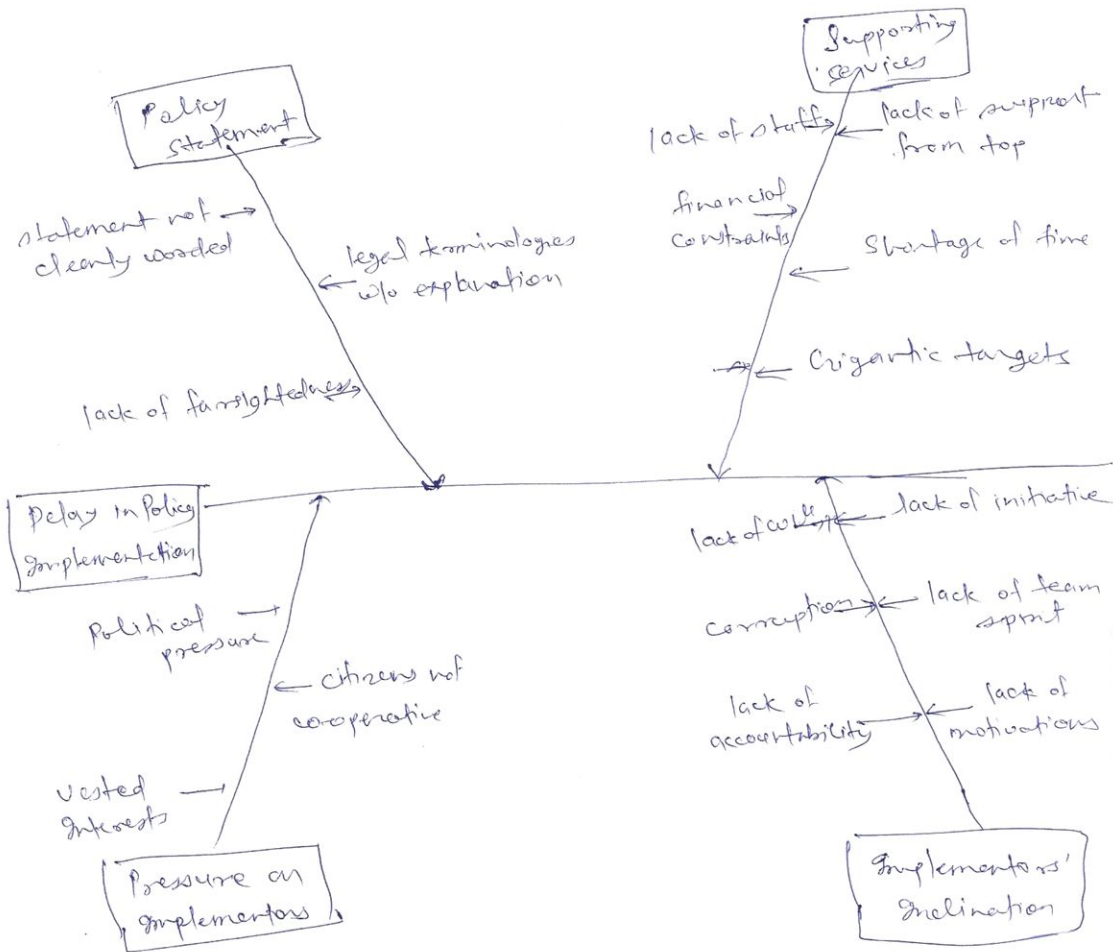
- i) To seek guidance and help from political executive & also higher echelons of admin.
- ii) To resist uncalled for pressures of the politicians, pressure groups
- iii) To have clear understanding of policy statement, goals
- iv) To have thorough understanding of target areas & groups this would help them to adopt most suitable strategy
- v) To prioritize the work to be undertaken.

- Co-ordination b/w various agencies;
- iv) To list the manpower, financial & infra requirement for implementing a policy
- vii) To ask for more resources, if required
- viii) To educate masses regarding policy benefits
- ix) To educate and impart training to the personnel put on diff jobs regarding implementation
- x) To ensure effective monitoring and evaluation.

Role of NGOs:-

- i) To supplement govt programmes
- ii) To serve as eyes and ears of citizen
- iii) To devise, simple, innovative, flexible strategies and projects of participative types
- iv) To activate and improve responsiveness of the delivery system
- v) To disseminate info about govt prog. & schemes
- vi) To demystify and simplify technology
- vii)

Policy Implementation Problems:-



- not sure about implementation machinery
- lack of coordination b/w various agencies
- frequent transfer of those implementing
- too much work load for collector

- ↳ Org. are goal seeking entities; seek legitimacy through goal accomplishments.
- ↳ Etzioni: "An org goal is a desired state of affairs which the org. attempts to realize".
- ↳ Goals can be approached through variety of perspectives.
 - B. through Parson's societal view to purely individual view
- ↳ Simon keeps the goal idea at individual level but offers notion of org. goals resulting thru interaction of members.
- ↳ Acc. to him goals become constraints on D.M. approach
- ↳ decisions are made within the set of constraints (goals)
- ↳ org make decisions that optimal in terms of constraints they face.
- ↳ Penrose distinguishes b/w two types of goals
 - 1) Official goals: these are general purpose of org. as can be found in statute, annual reports.
 - 2) Operative goals: these goals designate the ends sought thru the actual operating policies of org. Operative goals are derived & distilled from official goals.
- ↳ Combination of official goals with internal & external factors defines an existing set of operative goals.

↳ Org goals don't remain constant & changes mainly for three reasons:

- 1) There is direct pressure from external ~~source~~ forces.
- 2) pressures from internal system.
- 3) There are changed envⁿ & tech demand that prompt the org. to redefine its goals.

↳ The impact of external relationships on goals has been a fact of org. life. Study in this area is Selznick's TUPA & the grass roots which documents the impacts of bringing new societal elements into governing structure of TUPA.

↳ Operative goals undergo changes due to changes in the Power System of the org.

↳ Goal displacement may also occur due to what Etzioni calls 'over measurement' & Breiman gross labels 'magic number'.

↳ When org. tend to organize their activities around more easily quantifiable spheres, org. goal deflect towards achievement of easily measured aspect. This may actually defeat the purpose of org.

↳ Finally tech developments & general values surrounding envⁿ of org. also affect operative goals.

Effectiveness of ^{Org.} goals

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↳ effectiveness is the extent to which an org. achieve its objectives within the constraints of limited resources.

↳ Two models for evaluating org. effectiveness

a) Goal Model :- This approach emphasises effectiveness to be evaluated solely in terms of goals / outputs. However many times managers have to allocate resources to activities which have little to do with goals. (deficiency of model)

b) System theory model :- This calls for evaluation in terms of optimum balance among various adaptation & maintenance activities. These activities are

- ↳ acquiring resources 1) efficient use of i/p
- 1) producing output 10) performing task rationally &

so effectiveness is how org. achieve optimal relationship among all activities, each of which is related to input - process - output cycle & adaptation to larger envn.

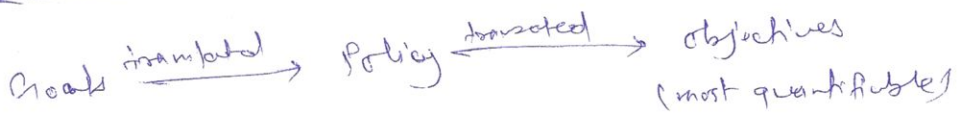
Goal-setting in Govt :-

Constraints :- i) absence of long term vision due to transient nature of political executive.

ii) Politicians are not trained mngs. They are essentially mediators in a crossfire of complex & often incompatible demands & pressures.

iii) At the higher levels in govt, goals & policies are product of joint venture b/w politicians & bureaucrats where roles of both will be clearly demarcated. However in real life two intermingle freely & goals & policies flow out of ~~these~~ close relationship.

Policy-Making in Govt :-



Need for policy analysis :-

4. Why particular decision? how they are arrived at?
What will be consequences? these are que now being raised by policy analysts.

5. Since policies determine the future shape of society, scientific knowledge about policy making needs to be built up.

- ↳ Doan argues for use of both rational & extra rational info (intuition, value preference, extraordinary leadership) to enrich policy analysis.
- ↳ Policy analysis, today, focus on three things
 - a) Accent is on explanation & not directly on prescription that is understanding policies rather than recommendation
 - b) Causes & consequences are subject to rigorous analysis
 - c) creation of body of scientific knowledge.

↳ Pol. Science & Pub Ad :-

- ↳ Policy studies have been the confluence zone of two.
- ↳ Pol scientists are interested in the 'Politics' of policy making in specific sectors. One raised are How issues surfaced; who are the actors; what are the influences
- ↳ By contrast Pub Ad expert is concerned with org, DM & implementation process.
- ↳ Thus while Pol. science looked into substantive field (sector), Pub Ad has chosen to prob into ~~above~~ org. implementation,

Models of Public Policy

i) Institutionalism

ii) Group theory

iii) Elite theory

iv) Rational Model:- Maximization of 'net value achievement' (NVA)
is the hall mark of rational policy.

↳ NVA means sacrifices of some values must be more than compensated by attainment of some other values.

Pre-requisite:- i) adequate understanding of societal values

ii) Data & info regarding alternatives

iii) Definite D.M. system in the org. with adequate capacity.

↳ In framing policy, optimality is as imp as ~~ratio~~ acceptability.

↳ That is why even Dr. Dasgupta wants policy analysts to broaden their use of extrarational info with acute perceptions of social reality.

↳ A recent study in India, reaches at similar conclusion. We believe that neither science nor an optimal system in policy formulation could replace the D.M.'s wisdom, experience, judgement & sensitivity for people.

4 Judicious mix of optimality & acceptability is necessary to achieve desired policy impact.

u To conclude with Martin Pein

"We need a combined std for judging the desirabilities of policies able to pass the tests of what is politically feasible, ideologically acceptable & rationally compelling; & such a common std can never be developed".

5) Incrementalism

c) Game theory: used in situations of conflict. Ex. IR.

u Each decision unit in a game situation has its own goals & try to achieve them; yet each has to take into account of others in the situation & effect of others' actions.

u There may be diff. outcomes of their actions with diff. values to them. So there is a situation of interdependence.

u All have to make independent choices, but outcome would be conditioned by choices made by other participants.

u Game theory is applicable to policy making where there is no ~~choice~~ independent best choice that one can make - whereas the best outcome depends on what others do.

- ↳ However its use is not so common in Pub Ad as conditions of 'game' is rarely present
- ↳ Thomas Dye sums up! "Game theory is an abstract & deductive model of policy making, it does not describe how people actually make decision but rather how they would go about making decisions in competitive situations."

7) System Theory: characterize policy decision as o/p of political system.

8) Typologies of Public Policy: Useful in understanding why & how certain kinds of policies are made the way they are;

- ↳ help in understanding 'politics' of policy making.
- ↳ Lowi divides into three: distributive; redistributive; regulatory
- ↳ Practically, policies may be categorized on basis of method of control made use by govt.

1) Patronage policy: take the form of subsidies, contracts & licences

2) Regulatory: most imp tool used by govt to regulate business

- Ripley & Franklin gave two sub-categories of regulatory
 - i) competitive regulatory : e.g. spectrum allocation
 - ii) protective regulatory : e.g. customer protection
 - iii) redistributive policy : to manage economy as a whole.

iv) Implementation :- Policy analysis & prog. implementation

are like twins, one is integrally connected with other.

• Implementation concentrates on the result of admin action & not merely on process

• Two ways of judging implementation:

- a) efficiency method: what o/p produced for given i/p
- b) responsiveness method: Does implement represent popular will?

In actual implementation, there is always a trade off b/w two.

v) Problems in implementation

- i) Different kinds of uncertainty accompany prog. Space, tech, may not be available at specific time & locations.
- ii) resources may fall short of req. & may not be flowing in time.

- 11/ Within a dept., a new prog. may not be welcome by all.
- 12/ Leadership make or destroy an org. Success / failure of new prog. depend on leadership.
- 13/ Inter-agency coordination; inter-personal relations.
- 14/ absence of feedback

4 Richard Elmore's concepts of 'forward mapping' & 'backward mapping' are of immense significance for implementation research.

↳ Conventionally, adminⁿ decide what results they want & then try to define role & responsibility at each step of implementation process. This is called forward mapping.

↳ In this process, the problem is that implementers do not control all the facts affecting the process.

↳ He suggested this can be corrected by 'backward mapping'.

↳ In this adminⁿ begin ~~work~~ at the end, working backwards keeping in mind constraint at each stage. It make us aware of the fact that no policy process acts in isolation. Hence each process must be integrated with others to ensure successful implementation.

Recent Advances in Policy studies

- ↳ Ever expanding n/w of ICT, domestic & intl. mkt issues (B. envt. crises etc) puts polts & pressure on govt & at the same time demand for well considered decisions.
- ↳ Three aspects of policy studies are assuming considerable significance today.
- 1) Strategic Policy :- GT involves ideas, vision as well as planned actions, expected performance & desired result.
 - ↳ Chief Exe. of Dy. casually engage in strategy format & transmit it both inside & outside the org. to secure req. collaborations.
 - ↳ Thus it is a kind of mega policy that involve multiple org. & stakeholders & include both vision & actions to achieve it.
 - ↳ Many state govt in India, goaded by donor agencies are putting strategic policies fr. in field of health reforms.
 - ↳ GT req. suitable org. capabilities to comprehend the vision & successfully implementation of it.

1) Policy transfer:- It stands for process by which knowledge of ideas, institutions, policies in time & place is fed into policy making arena in the depth of policies & prog. in another time/place

↳ This has led to specialised study of policy transfer inquiring into situations, calling for such transfers, modalities of transfer & their consequences of receiving country.

↳ In recent times, many developing countries are emulating the examples of other countries. Ex. Carribean Bank ideas from Bangladesh.

↳ WB etc have often been engaged in policy transfers among loan recipient countries, ; World wide spread of neo-liberal policies

↳ Policy transfers could be due to variety of reasons; lesson drawing, crisis copying, coerced pushing etc.

10) Post-Positivist studies

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- ↳ The policy studies field has traditionally been dominated by the rationalist-technocratic school.
- ↳ Fast adept of data processing techniques with the help of computers has exerted powerful influence on the whole field of D.M. & analysis. No doubt it has brought a lot of precision & speed in D.M. & policy studies.
- ↳ At the same time, the rationality orientation has been overplayed & become almost an obsession.
- ↳ Public bodies usually consult many stakeholders & take into consideration things political. A major policy in any field has to reckon with many societal factors.
- ↳ These are not amenable to short cut, smart, quantifiable solutions.
- ↳ Policy is about politics which is aware of of contestations, bargaining & negotiations.
- ↳ What are posed as 'facts' are all socially constructed, containing revealed preferences, ideas & emotions.
- ↳ Any worthwhile policy making has to go beyond facts & draw on wisdom, values, beliefs & discourses of myriad participating actors.

- ✓ The plea is to go beyond rationalist explanations to capture the real-life pattern & make policy more practical.
- ✓ Post-positivist studies embed policy in values, norms & societal norms & subjective preferences of multiple actors