



NATIONAL OPEN UNIVERSITY OF NIGERIA

SCHOOL OF ARTS AND SOCIAL SCIENCES

COURSE CODE: POL 317

COURSE TITLE: PUBLIC POLICY ANALYSIS



**MAIN  
CONTENT**

**COURSE CODE:** POL. 317

**COURSE TITLE:** PUBLIC POLICY ANALYSIS (3-CREDIT)

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National Open University of Nigeria 2010

First Printed 2010

ISBN: 978-058-949-X

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## **MODULE 1: FUNDAMENTALS OF PUBLIC POLICY ANALYSIS**

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UNIT 2: TYPOLOGIES OF PUBLIC POLICY

UNIT 3: CONCEPTUALIZATION AND ELEMENTS OF PUBLIC POLICY ANALYSIS

UNIT 4: RELATIONSHIP BETWEEN PUBLIC POLICY ANALYSIS AND SOCIAL SCIENCES

UNIT 5: SCOPE AND CHARACTERISTICS OF PUBLIC POLICY ANALYSIS

### **UNIT 1: NATURE AND MEANING OF PUBLIC POLICY**

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#### **1.0 INTRODUCTION**

Public Policy Analysis is a subdivision of politics. The growth and study of Public Policy analysis became a phenomenon in the 1960's and 1970's. Until then, behaviouralism dominated the research attention and discourse and attention of political scientists. In that period, the concern of Political Science was the issue of values and ideals and their justification in solving social problems. Another issue was the institutions of government in terms of types, powers, functions, structures and processes. With the new thrust in research, Public Policy analysis began to develop. Several factors were responsible for this, namely:

- 1) Awareness that policies and government programmes have to be realized for the benefits of the citizens;
- 2) Expanded roles of modern day government in regulating and distributing goods and services and providing welfare activities to the citizens.
- 3) The poor performance of government policies and programmes and the demand for better policies to solve social problems;

4) The yearning of political scientists for relevance in governance and discipline. These factors contributed to the growth and development of policy studies in terms of policy advocacy, optimal choice and net-benefit policies in decision-making. There is, therefore, a shift of focus from Public Administration and Political Science to Policy research and analysis. In this unit, we shall attempt to examine the origin and nature of public policy analysis.

## **2.0 OBJECTIVES**

At the end of this unit, students would be able to:

- Explain the nature of public policy analysis and
- Describe the meaning of public policy analysis
- Understand why we study public policy

## **3.0 MAIN CONTENTS**

### **3.1 NATURE OF PUBLIC POLICY**

Prior to the revolution propounded by the Behaviouralists, the study of Political Science was largely dominated by the Traditionalists who borrowed a lot from the historical method of analysis (descriptive method). Consequently, the pre-Second World War political scientists did not concern themselves with the scientific study of events. However, there has undoubtedly been an increased interest over the past twenty years in the analysis of policy as a focus (as opposed to specific disciplinary or professional focuses). This increased interest has been accompanied both by grandiose claims for how “policy science” can improve the decision-making capacity and the outputs of government, and imitative relabeling as “public policy” of traditional courses in government or public administration. A study of the origins of this interest can help us to understand the current status of policy science and policy analysis. In brief, past studies on public policy have been mainly dominated by scholars of political science and public administration and have tended to concentrate more on the content of policy, the process of its formulation and its implementation. The study of public policy has evolved into what is virtually a new branch of the social sciences—the so called policy sciences (Dror, 1968:8-9). This concept of policy sciences was first formulated by Harold Lasswell in 1951. Today, the policy sciences have gone far beyond new and naïve aspirations for societal relevant knowledge.

The policy science movement grew out of a quest for a science of policy. Its key proponents among others were Yehezkel Dror and Harold Lasswell. According to Dror (1971:3), “policy science is a new supra-discipline, oriented towards the improvement of policy-making and characterized by a series of paradigms different in important respects from contemporary normal sciences”.

Policy Science was conceived as a supra-discipline – which will integrate several disciplines, such as: Political Science, Public Administration, Economics, Psychology, Sociology and tools of operational research and build multi-disciplinary knowledge, skills and techniques to resolve social problems. It is aimed at improving the knowledge, methods and analysis in policy making.

For Lasswell (1951:1), policy science is a:

Knowledge of the decision process implies systematic, empirical studies of how policies are made and put into effect. When knowledge is systematic it goes beyond the aphoristic remarks that are stream through the wisdom of literature of the past. The systematic requirement calls for a body of explicit linter-connected propositions.

Policy Science attempts to apply the scientific, systematic knowledge and methods, such as: observation, verification, validation, explanation and prediction to policy studies. Its goal is better policy-making. However, policy sciences also accept other sources and forms of knowledge in so long as they contribute to better policy-making. For example, personal experience, intuition, value-judgment and extra-rational resources are accepted. In so doing, attention is, therefore, directed more comprehensively to qualitative and normative methods and to non-economic rationality such as political feasibility.

Policy Science is regarded as a higher transition from policy analysis. It believes in the enhancement of methods, techniques and systematism (Ikelegbe, 1994:14). However, the line delineating policy analysis from policy science is blurred. Most advocates of policy sciences are policy analysts and the shift of emphasis to policy science is nothing but to create identity as a discipline for solving social problems.

However, the use of “public policy” as a label for a field of governmental activity and involvement is both a common and an apparently common-sense one. It covers past, current, and potential activities. It makes no distinction between policy as aspiration and policy as achievement- and it does not readily distinguish between policy as action and policy as inaction. On a more practical level, it will quickly become evident that the everyday language of policy “fields” and “areas” suggests a degree of boundary definition and self-containment which simply does not hold up when we attempt, for example, to draw sharp dividing lines between economic, foreign, and defence policies.

Other areas in which policy can be conceptualized are:

- **POLICY AS AN EXPRESSION OF GENERAL PURPOSE OR DESIRED STATE OF AFFAIRS.** State of policy in this context expresses the broad purposes (or “ends”) of governmental activity in one field and also describes the state of affairs which would prevail on achievement of those purpose;
- **POLICY AS SPECIFIC PROPOSALS.** In this context of policy, we often see statements of specific actions which political organizations (interest groups, parties, the Cabinet itself) would like to see undertaken by government;
- **POLICY AS DECISIONS OF GOVERNMENT.** Most times Political Scientists tend to focus on case study of government decisions, They may take a larger view of policy-making, looking for broader patterns of related decisions and taking into account ha longer time span which should certainly extend to what happens after the moment of choice and to questions of implementation and actual outcomes. However, policy is larger than decision because it usually involves a series of more specific decisions. While one decision in the sequence may be seen as crucial, an understanding of the larger policy requires some study of decisions both preceding and following the so called “crucial” episode;
- **POLICY AS FORMAL AUTHORIZATION.** When it is said of government that it has a “policy” on a particular topic, the reference is

sometimes to the specific Act of Parliament or statutory instrument which permits or requires an activity to take place. Or it may be said when legislation is enacted that the policy is to be carried out or implemented;

- **POLICY AS A PROGRAMME.** Most American students refer to policy as programmes. A programme is defined as relating to specific sphere of government activity involving a particular package of legislation, organization and resources. For example, government policy can be said to consist of a number of programmes, such as: the provision of subsidized council houses, a housing improvement programme, an option mortgage programme, and so on. Programmes are usually seen as being the means by which governments pursue their broader purposes or ends.
- **POLICY AS OUTPUT.** Here, policy is seen as what government actually delivers as opposed to what it has promised or has authorized through legislation. Such an outputs can take many forms – the delivery of goods or services, the enforcement of rules, or the collection of taxes, The form of outputs varies between policy areas. It is sometimes difficult to decide what the final “output” of government policy is in a particular area. For example, in the health service, there is a tendency to describe such items as more funds, more trained staff, and more beds as the outputs of a policy intended to improve the quality of medical care. In fact, these are necessary but not sufficient conditions of improved medical care: they should be regarded as important contributory factors to the desired output, but not the output itself. They could perhaps be described as “intermediate outputs” rather than the final or “ultimate” output. Outputs in practice may not conform to state intentions;
- **POLICY AS OUTCOME.** Another way of looking at policy is in terms of its outcome, that is, in terms of what is actually achieved. This distinction between outputs (the activities of government at the point of delivery) and outcomes (the impact of these activities) is often slurred over, and is sometimes difficult to make in practice, but it is an important one. Thinking

of policy in terms of outcomes may enable us to make some assessment of whether the stated purpose of a policy

- **APPEARS TO BE WHAT THE POLICY IS ACTUALLY ACHIEVING.**

It will also enable us to focus on the impact of the delivery of that policy to the targeted population;

- **POLICY AS A THEORY OR MODEL.** All policies involve assumptions about what governments can do and what the consequences of their actions will be. These assumptions are rarely spelt out, but policies nevertheless do imply a theory (or model) of cause and effect. At its simplest explanation, this type of theory takes the form “if X then Y will follow”. Therefore, we can see that failure of a policy can arise either from the Government’s failure to do X in full or because X fails to have the consequences expected according to the theory.

Policy can be regarded as a model. One of the tasks of the policy analysts is to try to tease out the theories underlying policies and examine the internal consistency of the resulting model and the apparent validity of its assumptions;

- **POLICY AS A PROCESS.** Policy involves a process over a much longer period of time. It could begin from the statement of an objective, moment of decision or approval, implementation and evaluation. Developing this process approach to the study of public policy would enable us understand the contributions which might be made by policy analysis.

Furthermore, a policy may be general or specific, broad or narrow, simple or complex, public or private, written or unwritten, explicit or implicit, discretionary or detailed, and qualitative or quantitative. Here, the emphasis is on “public policy” which is what a government chooses as guidance for action. From the viewpoint of public policy, activities of government can be put into three categories:

First, activities that are attached to specific policies. Second, activities which are general in nature; and third, activities which are based on vague and inconsistent policies. However, in practice, a government rarely has a set of guiding principles for all its activities. A public policy may cover a major portion of its activities which are

consistent with the development policy. Socio-economic development, equality, or liberty or self-reliance or similar broad principles of guidance for action may be adopted as a developmental policy or national goal. A public policy may be narrow, covering a specific activity, such as family planning. A public policy may also be applied to all people in a country or it may be limited to a section of its people.

Besides, each level of government – central, state and local-may have its specific or general policies. Then, there are “megapolicies”. General guidelines to be followed by all specific policies are termed “megapolicy”. According to Dror, (1968), “megapolicies” form a kind of master policy as distinct from concrete, discrete policies, and involve the establishment of overall goals to serve as guidelines for the larger sets of concrete and specific policies. All policies generally contain definite goals or objectives in more implicit or explicit terms. Policies have outcomes that may have been foreseen.

Public policies in modern political systems are purposive or goal-oriented statements. Public policy may be positive or negative in form. In its positive form, it may involve some form of overt government action to deal with a particular problem. On the other hand, in its negative form, it involves a decision by public servants not to take action on some matter on which a governmental order is sought. Public policy has a legally coercive quality that citizens accept as legitimate. For example, taxes must be paid unless one wants to run the risk of fines or jail sentences. This legally coercive quality of public policies makes public organizations distinct from the private organization (Sapru, 2010). Thus, the nature of “policy” as a purposive course of action can be better or more fully understood if we relate it to the concept of “public”.

## **2.1 MEANING OF PUBLIC POLICY**

The concept of public policy presupposes that there is a domain of life which is not private or purely individual, but held in common. It is important to understand the concept of “public” for a discussion of public policy. We often use such terms as “public interest”, public sector”, “public health” and so on. The starting point is that

“public policy” has to do with those spheres which are so labeled as “public” as opposed to spheres involving the idea of “private”. The concept of public policy presupposes that there is an area or domain of life which is not private or purely individual, but held in common. The public comprises that domain of human activity which is regarded as requiring governmental intervention or common action.

Public policy has been variably defined. In majority of cases, differences in definitions are semantic than substantive. Dye (1976) defines public policy as whatever governments choose to do or not to do. Dimock, et. al. (1983:40) sees public policy as “deciding at any time or place what objectives and substantive measures should be chosen in order to deal with a particular problem”. Chandler and Plano (1988:40) define public policy as “the strategic use of resources to alleviate national problems or governmental concerns”. Freeman and Sherwoods (1968) posit that it is the public response to the interest in improving the human conditions. In these definitions there is divergence between what governments decide to do and what they actually do. Public policy is a guide which government has designed for direction and practice in certain problem areas.

There are several implications of this concept of public policy as a relatively stable, purposive course of action followed by government in dealing with some problem or matter of concern. First the definition links policy to purposive or goal-oriented action rather than to random behavior or chance occurrences. Public policies in modern political systems do not, by and large, just happen. They are instead design to accomplish specified goals or product definite results, although these are not always achieved. Second, policies consist of courses or patterns of action taken over time by governmental officials rather than their separate, discrete decisions. Third, public policies emerge in response to policy demands, or those claims for action or inaction on some public issue made by other actors – private citizens, group representatives, or legislators and other public officials-upon government officials and agencies. In response to policy demands, public officials make decisions that give content and direction to public policy. These decisions may enact statutes, issue executive orders or edicts, promulgate administrative rules, or make judicial interpretations of laws.

### **3.3 WHY WE STUDY PUBLIC POLICY**

Most governments of developing countries are engaged in the momentous task of kindling nation resurgence through socio-economic development. They are struggling hard to develop their economy, to sustain improvements in the social system and to increase the capacity of their political system with a view to achieving the major objective of national development. They seek to improve the relevant policies. It is, therefore, taken for granted that the studies of approaches, strategies and concepts which will contribute towards this end are essential. The study of public policy represents a powerful approach for this purpose. Public policy is an important mechanism for moving a social system from the past to the future. It helps to shape the future. In other words, the study of public policy helps the development of professional advice about how to achieve particular goals.

Public policy can also be studied for political and administrative reasons in order to ensure that governments select and adopt appropriate policies. The study of public policy has much to offer to the development of administration in different sectors of the economy. It will enable the administration to engage in such issues as are of public importance and are concerned with the transformation of values into public policy-making and demanding the meaningful actions of public servants.

The social scientists, especially political scientists, manifest concern with what governments should do with appropriate public policy. They contend that political science cannot be “silent” or “impotent” on current social and political problems and that political scientists and academics in public administration have a moral obligation to put forward a particular policy on a particular problem. They should advance the level of political knowledge and improve the quality of public policy in whatever ways they think best, notwithstanding the fact that substantial disagreement exists in society over what constitutes appropriate policies. Public policy improves the democratic or political capacities of people, and not simply the efficiency and effectiveness of delivery of goods and services.

Finally, the field of public policy has assumed considerable importance in response to the increasing complexity of the society. It is not only concerned with the description and explanation of the causes and consequences of government activity, but also with the development of scientific knowledge about the forces shaping public policy. The study of public policy helps to understand the social ills of the subject under study.

### **SELF-ASSESSMENT EXERCISE**

Describe the nature of Public Policy

### **4.0 CONCLUSION**

Prior to the emergence of the behaviouralists, political science has borrowed a lot from the historical method of analysis (descriptive method). From the 1950s, Political Scientists and Economists have been writing on the need to make public policy an academic discipline or profession. The argument of the advocates was that there was need to improve the quality of policy formulation and implementation, especially in the developing countries of the world.

### **5.0 SUMMARY**

This unit has been able to examine the origin and nature of public policy analysis. The growth and study of Public Policy analysis became a phenomenon in the 1960's and 1970's. Until then, behaviouralism dominated the research attention and discourse and attention of political scientists. In that period, the concern of Political Science was the issue of values and ideals and their justification in solving social problems. Another issue was the institutions of government in terms of types, powers, functions, structures and processes. With the new thrust in research, Public Policy analysis began to develop. Several factors were responsible for this, namely: awareness that policies and government programmes have to be realized for the benefits of the citizens; expanded roles of modern day government in regulating and distributing goods and services and providing welfare activities to the citizens; the poor performance of government policies and programmes and the demand for better policies to solve social problems; and the yearning of political scientists for relevance

in governance and discipline. Policy analysis covers past, current, and potential activities. It makes no distinction between policy as aspiration and policy as achievement- and it does not readily distinguish between policy as action and policy as inaction. It can be expressed as general purpose, decision, proposal, programme, output, outcome, process, model and theory.

#### **6.0 TUTOR-MARKED ASSIGNMENTS (TMAs)**

- (i) Explain the nature and meaning of public policy
- (ii) Discuss why we study public policy

#### **7.0 REFERENCES/ FURTHER READING**

- Dror, Y. (1968). *Public policy-making Re-examined*. San Francisco: Chandler.
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## **UNIT 2: TYPOLOGIES OF PUBLIC POLICY**

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- 1.0 Introduction
- 2.0 Objectives
- 3.0 Main Contents
- 3.1 Classification of Policy
- 3.2 Policy Types
- 4.0 Conclusion
- 5.0 Summary
- 6.0 Tutor-Marked Assignment
- 7.0 References/Further Reading

### **1.0 INTRODUCTION**

Some social scientists and scholars have attempted to discuss typologies of policy issues. These facilitate comparison between issues and policies. Governments at all levels in the Nigeria – national, State, and Local- have increasingly active in developing public policies. Every year, a large volume of laws and ordinances flow from the nation, state, and local legislative bodies. That volume of laws in turn is greatly exceeded by the quantity of rules and regulations produced by administrative agencies acting on the basis of legislative authorizations. This proliferation of public policies has occurred in such traditional areas of governmental action as foreign policy, transportation, education, welfare, law enforcement, business and labour regulation, and international trade. In this unit, we shall discuss the classification and policy types.

### **2.0 OBJECTIVES**

At the end of the unit, Students would be able to:

- Categories of public policies and
- Policy types

### **3.0 MAIN CONTENT**

#### **3.1 CLASSIFICATION OF PUBLIC POLICIES**

Governments at all levels are involved in a large number and complexity of public policies. These policies are classified by political scientists and others according to various categories of policies. Although these categories are convenient for designating various sets of policies and organizing discussions about them, they are not helpful in developing generalizations, because they do not reflect the basic

characteristics and content of policies. Policies may be classified as either substantive or procedural.

### **3.1.1 SUBSTANTIVE POLICIES**

Substantive policies involve what government is going to do, such as constructing highways, paying welfare benefits, acquiring bombers, or prohibiting the retail sale of liquor. Substantive policies directly allocate advantages and disadvantages, benefits and costs, to people.

### **3.1.2 PROCEDURAL POLICIES**

Procedural policies, in contrast, pertain to how something is going to be done or who is going to take action. So defined, procedural policies include laws providing for the creation of administrative agencies, determining the matters over which they have jurisdiction, specifying the processes and techniques that they can use in carrying out their programmes, and providing for presidential, judicial and other controls over their operations. However, procedural policies may have important substantive consequences. That is, how something is done or who takes the action may help determine what is actually done. Frequently, efforts are made to use procedural issues to delay or prevent adoption of substantive decisions and policies. For example, an agency's action may be challenged on the ground that improper procedures were followed.

## **3.2 POLICY TYPES**

Differentiating policy according to its types explains the effect of such policy on the society and the relationships among those involved in policy formation. Lowi (1972:298-310) suggests a classification of policy issues in terms of being:-

- (i) distributive,
- (ii) regulatory,
- (iii) redistributive, and
- (iv) Constituent policy issues.

### **2.1.1 DISTRIBUTIVE POLICY**

Policy issues concerned with distribution of new resources are distributive policies. Distributive policies involve allocation of services or benefits to particular segments of the population – individuals, groups, corporations, and communities. Some distributive policies may provide benefits to one or a few beneficiaries. The policies involve using public funds to assist particular groups, communities, or industries. Those who seek benefits usually do not compete directly with one another.

### **3.2.2 REDISTRIBUTIVE POLICY**

Redistributive policy issues are those which are concerned with changing the distribution of existing resources. Redistributive policies involve deliberate efforts by the government to shift the allocation of wealth, income, property, or rights among broad classes or groups of the population, such as: haves and have-nots, proletariat and bourgeoisie. Redistributive policies are difficult to enact because they involve the reallocation of money, rights, or power. Those who possess money or power rarely yield them willingly, regardless of how strenuously some may discourse upon the “burdens” and heavy responsibility attending their possession. Example of redistributive policy is graduated income tax or taxing the wealthy to allocate resources to the poor.

### **3.2.3 REGULATORY POLICY**

Regulatory policy issues are those which are concerned with regulation and control of activities. Regulatory policies impose restrictions or limitations on the behavior of individuals and groups. That is, they reduce the freedom or discretion to act of those regulated, whether utility companies, or agencies. When we think of regulatory policies, we usually focus on business regulatory policies, such as those pertaining to control of pollution or regulation of transportation industries. Among others, these sorts of policies were the focus of the movement for deregulation. The most extensive variety of regulatory policies, however, is that which deals with criminal behavior against persons and property. Examples of regulatory policies are: consumer protection policies, NAFDAC, SON, NDLEA, policies that regulate entry into businesses-National Communication Commission, Federal Character Commission, PHCN regulatory policies etc.

### **3.2.4 CONSTITUENT POLICY**

Constituent policy issues are those which are concerned with the setting-up or re-organisation of institutions. Each of these policy issues forms a different power arena. However, it may be mentioned here that Lowi’s view of politics as a function of policies has been criticized as over-simplistic, methodologically suspect, and testability.

### **3.2.5 MATERIAL AND SYMBOLIC POLICY**

Public policies may also be described as either material or symbolic, depending upon the kind of benefits they allocate. Material policies actually either provide tangible resources or substantive power to their beneficiaries, or impose real disadvantages on

those who are adversely affected. Legislation requiring employers to pay a prescribed minimum wage, appropriating money for a public-housing programme, or providing income-support payments to farmers is material in content and effect.

Symbolic policies, in contrast, have little real material impact on people. They do not deliver what they appear to deliver; they allocate no tangible advantages and disadvantages. Rather, they appeal to people's cherished values, such as: peace, patriotism and social justice. The material – symbolic typology is especially useful to keep in mind when analyzing effects of policy because it directs attention beyond formal policy statements. It also alerts us to the important role of symbols in political behavior

### **SELF-ASSESSMENT EXERCISE**

Explain what you understand as procedural policy

### **3.0 CONCLUSION**

In this unit, we have been able to examine the classifications of public policy issues. Given the large number and complexity of public policies, the task of trying to make sense of them is enormous. This unit summarizes number of general typologies that political scientists and others have developed for categorizing public policies. Although, these categories are convenient for designating various sets of policies and organizing discussions about them, they are not helpful in developing generalizations, because they do not reflect the basic characteristics and content of policies. The discussion of typologies will also provide the reader with a notion of the scope, diversity, and different purposes of public policies.

### **4.0 SUMMARY**

Governments at all levels in Nigeria – national, state, and local – have been increasingly active in developing public policies. Every year, a large volume of laws and ordinances flow from the nation, state and local legislative bodies. Policies have classified into categories as: substantive and procedural policies. Substantive policies involve what government is going to do, such as constructing highways, paying welfare benefits. On the other hand, procedural policies pertain to how something is going to be done or who is going to take action. Moreover, some social scientists and scholars have attempted to discuss the typologies of policy issues. This typology differentiates policies by their effect on society and the relationships among those involved in policy formation. The policy types include: distributive policy, redistributive policy, regulatory policy, constituent policy, material and symbolic policies. These categories are convenient for designating various sets of policies and

provide reader with a notion of the scope, diversity and different purposes of public policies.

### **6.0 TUTOR-MARKED ASSIGNMENTS (TMAS)**

- (1) Discuss the arguments that public policies could be categorized into substantive and procedural.
- (2) Comment with examples on:
  - i) Distributive policies;
  - ii) Re-distributive policies;
  - iii) Regulatory policies; and
  - iv) Symbolic policies

### **7.0 REFERENCES/ FURTHER READING**

- Anderson, J.E. (2003). *Public Policy-Making, 5<sup>th</sup> Edition*. New York: Houghton Mifflin Company.
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## **UNIT 3: CONCEPTUALIZATION AND ELEMENTS OF POLICY ANALYSIS**

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- 2.0 Objectives
- 3.0 Main Contents
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- 3.2 Elements of good policy analysis
- 4.0 Conclusion
- 5.0 Summary
- 6.0 Tutor-Marked Assignment
- 7.0 References/Further Reading

### **1.0 INTRODUCTION**

Public Policy analysis involves the study of the causes, processes, formation, implementation and consequences of public policy. It entails the description, explanation and prescription of particular policy choices and content, the determination of strategies or techniques for optimal policy-making. It uses collected data to systematically explain, describe and prescribe public policies with the aid of social science methods, theories and approaches. The study of public policy prepares and helps us to cope better with the future. It improves our knowledge about the society. An important part of the study of public policy is concerned with society's future. In this unit, we shall examine the meaning of Public Policy Analysis and the common denominator of various definitions.

### **2.0 OBJECTIVES**

At the end of this unit, students would be able to:

- Conceptualize public policy analysis and
- Understand the elements of good Policy Analysis

### **3.0 MAIN CONTENT**

#### **3.1 CONCEPTUALIZATION OF PUBLIC POLICY ANALYSIS**

It is first important to understand the concept of “public” for a discussion of public policy. The concept of public policy presupposes that there is an area or domain of life which is not private or purely individual, but held in common. The public dimension is generally referred to “public ownership” or control for “public purpose”.

The public comprises that domain of human activity which is regarded as requiring governmental intervention or common action.

Like the idea of “public”, the concept of “policy” is not a precise term. Policy denotes, among other elements, guidance for action. It may take the form of:

- A declaration of goals;
- A declaration of course of action;
- A declaration of general purpose; and
- An authoritative decision

However, policy takes different forms. There is thrust to designate policy as the “outputs” of the political system, and in a lesser degree to define public policy as “more or less interdependent policies dealing with many different activities. Dror, (1968) defines policies as “general directives on the main lines of action to be followed”. Peter Self defines policies as “changing directives as to how tasks should be interpreted and performed”

Public Policy analysis, therefore, has been variously defined by scholars. Quade (1975), says it is “any type of analysis that generates and presents information in such a way as to improve the basis for policy-makers to exercise their judgment”. On his part Chandler and Plano, (1988:96) posit that policy analysis involves “systematic and data-based alternative to intuitive judgments about the effects of policy or policy options”. Ikelegbe (1994:5), defines it as the study of the causes, processes, formation, implementation and consequences of public policy.

Dye (1976) defines policy analysis “as finding out what governments do, why they do it and what difference it makes”. He labels policy analysis as the “thinking man,s response” to demands. He observes that specifically public analysis involves:

1. A primary concern with explanations rather than prescription.;
2. A rigorous search for the causes and consequences of public policies; and
3. An effort to develop and test general propositions about the causes and consequences of public policy and to accumulate reliable research findings of general relevance.

Policy analysis as a technique puts data to use in, or deciding about, estimating and measuring the consequences of public policy. Its purpose is twofold. It provides maximum information with minimal cost about:

- (i) The likely consequences of proposed policies, and
- (ii) The actual consequences of the policies already adopted.

To achieve these two purposes, various methods or approaches are applied. Among the principal methodologies are:

- (a) Systems analysis and simulation;
- (b) Cost benefit analysis;
- (c) New approaches to budgeting;
- (d) Policy experimentation; and
- (e) Policy evaluation

Policy analysis is thus an inter-discipline drawing upon data from other discipline.

The common denominators in these definitions are:

- Policy analysis involves the application of systematic research and process;
- It is data-base alternative to intuitive judgments;
- Policy analysis is problem-oriented and analytical in nature;
- Policy analysis is inter-disciplinary and an academic discipline that draws on the knowledge, methods, theories, and models developed in political science, economics, psychology, sociology, law and philosophy. It is descriptive and prescriptive in nature, especially as it attempts to proffer solutions to social problems.

For our purpose, policy analysis can be conceptualized as the study of the formation, implementation and evaluation of public policy, the values of policy-makers, the environment of the policy-making system, the cost of policy alternatives and the study of policies for improving policy-making (meta-policy). Its goal is to improve the basis of policy-making and generate relevant information needed to resolve social problems. Public policy analysis is aimed at improving the basis for public policy making.

### **3.2 ELEMENTS OF GOOD POLICY ANALYSIS**

The key elements of good policy analysis include the following (Nagel, 1984):

#### **(i) VALIDITY**

Validity, in general, refers to being accurate. In the context of policy analysis, validity refers to the internal consistency of logically drawing a conclusion that follows from the goals, policies, and relations, the external consistency with empirical reality in describing the relations between the alternative policies and the goals; the policies being considered encompass the total set of feasible alternatives (feasibility in this context refers to being capable of being adopted and implemented by the relevant policy makers and policy appliers); and the listed goals include all the major goals and only the goals of the relevant policy makers in this context.

#### **(ii) IMPORTANCE**

The concept of importance can be defined in two ways. First, does the research deal with issues on which there are big societal benefits and/or big societal costs being analysed? Second, does the research deal with a subject matter or a set of causal hypotheses that potentially have broad explanatory power? This is theoretical importance, as contrasted to policy importance.

#### **(iii) USEFULNESS**

Usefulness as its lowest level involves doing policy research that is not referred to by the people who make policy in the subject-matter area. At the next level is research referred to by policy makers orally or in a citation, even if the research cited is not on the winning side. At a higher level is research that reinforces pre-conceived decisions. Policy researchers should be pleased if their research accelerates a worthwhile decision that otherwise might be delayed. At the highest level is the rare case of policy research that converts decision makers from being negative to being sensitive, or vice versa, on an issue.

**(iv) ORIGINALITY**

Originality refers to the extent to which policy research differs from previous research, although even highly original research builds and synthesizes prior research.

**(v) FEASIBILITY**

Feasibility is an additional criterion for judging proposed policy research, as contrasted to completed policy research. Feasibility is concerned with how easily research can be implemented given the limited time, expertise, interest, funds, and other resources of the researcher.

**SELF-ASSESSMENT ASSIGNMENT**

Discuss the term Public policy analysis

**4.0 CONCLUSION**

We have been able to discuss the meaning of Public policy analysis in this unit. A Public policy analysis is a set of techniques that seeks to answer the question of what the probable effects of a policy will be before they actually occur? Thus, Public policy analysis is aimed at improving the basis for public policy making, the content, the knowledge about the outcomes and impact of public policy and ways and means of improving public policy performances

**5.0 SUMMARY**

Public policy analysis is a multi-disciplinary and systematic investigation aimed at gathering and analyzing information about the likely consequences of public policies both before and after they occur. It involves collection and interpretation of information in order to predict the consequences of alternative course of action. It entails the application of social science research techniques to formulate, execute and evaluate public policy in order to make effective decisions. Public policy analysis is aimed at improving the basis for policy making. It helps to facilitate sound decision making and contributes to better policy implementation and performance.

**6.0 TUTOR-MARKED ASSIGNMENTS (TMAs)**

- (i) Explain the key elements in public policy analysis

(ii) Evaluate the relationship between policy-making and policy-analysis

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## **UNIT 4: THE RELATIONSHIP BETWEEN SOCIAL SCIENCES AND POLICY ANALYSIS**

### **CONTENTS**

1.0 Introduction

2.0 Objectives

3.0 Main Contents

3.1 Relationship between Social Science and Policy Analysis

3.2 Relationship between Politics and Policy Analysis

3.3 Relationship between Public Administration and Policy Analysis

4.0 Conclusion

5.0 Summary

6.0 Tutor-Marked Assignment

7.0 References/Further Reading

### **1.0 INTRODUCTION**

Public policy is inter-disciplinary in nature. It borrows methods, theories, and techniques from other disciplines, such as Economics, Psychology, Sociology, Law, Political science and Public Administration. As a policy analyst, there is the need to borrow certain skills and knowledge that are needed to solve social problems. In this unit, we shall examine the relationship between Social Science, political Science and public Administration on one hand and Public Policy analysis on the other.

### **2.0 OBJECTIVES**

At the end of this unit, students would be able to:

- Describe the relationship between Social Science and Public Policy Analysis
- Explain the relationship between politics and public policy and
- Explain the relationship between Public Administration and Public Policy

### **3.0 MAIN CONTENT**

#### **3.1 RELATIONSHIP BETWEEN SOCIAL SCIENCE AND PUBLIC ANALYSIS**

Policy analysis is inter-disciplinary in nature. It adopts social science techniques to resolve social problems. For a policy analyst to be effective, he requires knowledge of social science disciplines, such as: Political Science, Sociology, Economics, Psychology, Statistics, Philosophy and even Law. In short, policy analysis is an applied social science discipline. Its methods, study and training is inter-disciplinary, particularly within the social science and humanities.

However, Moore (1983) argued that both social science and policy analysis are different in orientation. According to him, the social sciences address broad problems of understanding in terms of a tradition of discourse within given academic disciplines, while policy analysis seeks to advise on likely consequences of alternative policies. Social science seeks to maximize internal logical consistency and empirical rigour, while policy analysis seeks to be useful and relevant to a specific problem. Social science claims a special access to truth because of its methods, but policy analysis is more limited in its claim. Prewitt (1983), while acknowledging that Moore's argument expresses a theme "which most observers generally share", suggests that social science makes profound contributions to policy-making in the course of normal research, but does so through subverting pre-existing policy premises.

Prewitt (1983) supports the venerable view that the social sciences have a mission in "debunking" societal myths and practices. Social science research is only one source of information used in the policy process and often its impact may amount to no more than confirming pre-existing suspicions. It is sometimes useful in re-defining a policy problem, offering a fresh perspective or filling gaps in what people know. Some have suggested that this should become the goal of social science policy research. Lindblom and Cohen (1979) suggest that providing organizing frameworks or perspectives is "sometimes the major contribution" of professional social inquiry to social problem-solving. Weiss (1983) suggests that the current literature on evaluation shows that "research does seem to contribute a series of concepts, generalizations and

ideas that often come to permeate policy discussion”. Sharpe (1977:50) sees a considerable, but indirect role for social scientists in “changing the climate of ideas about how a policy problem is viewed”.

While there are still those who argue for greater “relevance” in the social sciences (Lapalombara, 1982), the literature review in Glaser et al (1983), suggests that the prevailing view is closer to Moore’s. It stresses the distance between social science and policy analysis and suggests that the usefulness of social science to practical policy problems will either be slight or exceedingly general.

This portrait is, however, both inaccurate and inappropriate. It is inaccurate because academic social scientists still train most of those who go on to do applied, professional policy analysis. Academic social scientists routinely serve on commissions and do applied policy research, professional policy analysis. Academic social scientists routinely serve on commissions and do applied policies research on a consulting basis. Academics write articles and books reflecting on and assessing public policies and social science methods are at the core of policy analysis. In fact, a considerable portion of research, investigations and the development of rigorous methodologies, in policy studies have been undertaken by Economists, Psychologists, Sociologists and other disciplines.

From this collection of social sciences, one can readily perceive that the study of governmental policy problems is clearly an inter-disciplinary activity, since many disciplines have something to contribute. For any social scientist, it would be too much to acquire expertise in all the perspectives relevant to public policy study. Indeed, it would simply be unrealistic to expect every policy analyst to become an expert in all the subfields within his or her own social science or discipline. Nevertheless, there probably is a consensus that if one is interested in developing competence in policy analysis, he or she should be familiar in a general way with the potential contributions and drawbacks of various social sciences. Such familiarity will at least enable one to know when to call on a fellow social scientist.

### **3.2 THE RELATIONSHIP BETWEEN POLITICS AND POLICY ANALYSIS**

Political Science as a field of study can be described as the systematic study of politics. The subject assists people in the understanding of human relationships. But, more importantly, political studies always focus on individual behavior as a unit of political analysis on one hand and relationships between the individual and other members of the society. The interaction calls for decision-making. Politics is the means by which values or objectives can be injected into analysis at the beginning of the policy process, with the decision naturally emerging from the analysis. That is, a piece of analysis once completed is consumed and (if utilized at all) injected into the political process, from which a decision will then emerge.

The relationship between politics and analysis at its best is iterative (repetitious). The importance of the political setting and the consumption of analysis at all stages of the policy process from agenda setting onwards. Even after an option has been selected, the role of policy analysis – and politics – is far from over. Analysis is seen, therefore, as supplementing the more overtly political aspects of the policy process rather than replacing them. There is no such thing as totally “neutral” analysis. Values are at the centre of policy-making.

### **3.3 THE RELATIONSHIP BETWEEN PUBLIC ADMINISTRATION AND POLICY ANALYSIS**

Policy analysis emerged as an activity in Public Administration for its perceived contribution to the improvement of the quality of administration and management of state affairs. Policy analysis has become very crucial with the advent of systematic planning for economics, social and technological development. Development planning has generated a new and special interest among policy-makers with respect to systematic analysis of public policy issues as well as orderly and coordinated inter-relationships among different policies. At the highest level of decision-making, policy analysis can better guide political decision-makers to make appropriate choices among different alternatives.

At the operational level, policy analysis tools and techniques can equally facilitate the translation of overall policy objectives into workable action programmes. For these reasons, public policy has become an important sub-unit of public administration.

### **SELF-ASSESSMENT EXERCISES**

Describe the relationship between Social Science and Public Policy Analysis

### **4.0 CONCLUSION**

Policy-making and social sciences are related because of long-standing and continuing inquiry into the political, economic, social, scientific, technological administrative and environmental issues and problems pertaining to state administration. Its scope and perspectives have become broader and more crucial following the rapidly expanding responsibilities of governments, generated, in turn, by the challenging and complex demands of economic and social development of the nation. The activity has, therefore, embraced participants from different disciplines and specialization, including politicians, administrators, social scientists, physical and natural scientists, technologists and citizens at large.

### **5.0 SUMMARY**

Policy analysis is related to Social Sciences, Politics and Public Administration. It adopts social science techniques to resolve social problems. For a policy analyst to be effective, he requires knowledge of social science disciplines, such as: Political Science, Sociology, Economics, Psychology, Statistics, Philosophy and even Law. In short, policy analysis is an applied social science discipline. Its methods, study and training is inter-disciplinary, particularly within the social science and humanities. In particular, administrators have become more involved in analysis because of their direct responsibility to make the system of public administration more effective, efficient and responsive to the needs of economic and social development. Thus, policy analysis is an applied social science discipline. Its method, study and training are inter-disciplinary particularly within the social sciences and humanities. Moreover, Policy analysis is a sub-field within Political Science and Public

Administration. This explains the reason it is studied in the departments of Political Science and Public Administration.

Public analysis is, therefore, aimed at improving the basis for public policy-making, the context, the knowledge about the outcomes and impact of public policy and ways and means of improving public policy performance. Public policy analysis is entirely problem-centred. Its object, especially at its prescriptive body is to ameliorate current societal problems that require governmental or public action. It is involved on the prescription of policies and strategies for tackling social problems. In policy advocacy, it helps to influence future policy choices. Finally, policy analysis encapsulates analysis of policy content, process output and policy evaluation as well as process advocacy and policy advocacy.

#### **6.0 TUTOR-MARKED ASSIGNMENT**

1. Critically assess the statement that Public Policy Analysis could be described as inter-disciplinary in nature.
2. Explain how Politics influences Policy Analysis
3. Evaluate the relationship between Public Administration and public policy analysis

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## **UNIT 5: SCOPE AND CHARACTERISTICS OF POLICY ANALYSIS**

### **CONTENTS**

- 1.0 Introduction
- 2.0 Objectives
- 3.0 Main Contents
  - 3.1 Scope of Public Policy Analysis
  - 3.2 Characteristics of Public Policy Analysis
- 4.0 Conclusion
- 5.0 Summary
- 6.0 Tutor-Marked Assignment
- 7.0 References/Further Reading

### **1.0 INTRODUCTION**

Public policy is what government chooses to do or not to do. It is government actions or proposed course of action directed at achieving certain goals. Its scope includes variety of areas and issues, such as: economy, education, health, defence, social welfare, foreign affairs, transportation and housing. Policy analysis is the study of public policy. It is the study of the causes, processes, formation, implementation and consequences of public policy. In this unit, we shall examine the scope and characteristics of Public Policy Analysis.

### **3.0 MAIN CONTENT**

#### **3.1 SCOPE OF PUBLIC POLICY ANALYSIS**

Policy analysis can be delineated into two broad areas:

- (1) It involves policy research and analysis and is directed at better policy-making. Generally, it involves marshalling techniques, models, policy choices and strategies;
- (2) Policy analysis involves impact evaluation research. This research is aim at improving the performance of existing policies. This is mainly programme evaluation studies. The programme evaluation could be prospective or retrospective. Prospective evaluation assesses the programme alternatives in terms of feasibility, capability and prospects, prior to implementation. The

goal is to determine which policy alternative could be better implemented or would achieve higher performance. Programme evaluation can be retrospective if it concerns the evaluation of on-going or completed programmes. The goal is the collection of programme data, which will help managers and others to decide on issues of improved performance and modifications.

However, the scope and sheer size of the public sector has grown enormously in all the developing countries in response to the increasing complexity of technology, social organization, industrialization and urbanization. At present, the functions of practically all governments, especially of the developing countries, have significantly increased. They are now concerned with the more complex functions of nation-building and socio-economic progress. Today, the government is not merely the keeper of peace, the arbiter of disputes, and the provider of common goods and day-to-day services. It has, directly or indirectly, become the principal innovator, the major determiner of social and economic programmes and the main financier as well as the main guarantor of large-scale enterprises.

In many developing countries, there is great pressure on government to accelerate national development, make use of up-to-date and relevant technological innovations, adopt and facilitate necessary institutional changes, increase national production, make full use of human and other resources, and improve the level of living. These trends and developments have, therefore, enhanced both the size and scope of public policy. In our everyday life, we are affected by myriad of public policies. The range of public policy is vast: from the vital to the trivial. Today, public policies may deal with such substantive areas as defence, environmental protection, medical care and health, education, housing, transportation, taxation, inflation, science and technology, and so on.

### **3.2 CHARACTERISTICS OF POLICY ANALYSIS**

Many scholars have outlined certain characteristics of policy analysis, as follows (Rhodes, 1979a:27; Dror, 1968:241-4; Spring, 1970):

- (1) Policy analysis is applied scientific research rather than prom-blind, prescriptive as well as descriptive;
- (2) Inter-disciplinary as well as multi-disciplinary. Policy analysis is not single discipline but inter-discipline, which combines in a synergistic manner elements from many disciplines;
- (3) Politically-sensitive planning. There is concern with developing some sophisticated indicators of social conditions and problems, better forecasts, hierarchies of objectives, improved definition and appraisal of options and so on. To this extent, there is an obvious overlap between policy analysis and policy planning. However, there is an awareness that policy analysts should be trained with political skills as well as planning techniques to understand the political nature of the policy process. This is intellectual necessity since any analyst must understand the complexities and constraints of the political system if his recommendations are to have any impact.
- (4) Client-Oriented. Policy analysts are often hired by government or other agencies. Some operate as academic analysts, which often place them as agent of social change with a commitment to the amelioration of society.

#### **SELF-ASSESSMENT EXERCISE**

Explain and scope of Public Policy Analysis?

#### **4.0 CONCLUSION**

In this unit, we examined the scope and characteristics of Public Policy Analysis. Public policy analysis is aimed at improving the basis for public policy making, the content, the knowledge about their outcomes and impact of public policy and means of improving public policy performance. Public policy analysis is entirely problem-centred. Its object, especially at its prescriptive context is to ameliorate current societal problems that require governmental or public action. It attempts to systematically gather data to describe or explain public policies with the aid of social science methods and techniques for policy makers or decision makers.

## **5.0 SUMMARY**

The scope of policy analysis can be classified into two broad areas: policy determination and policy impact evaluation. Policy analysis is client-oriented, politically sensitive, and inter-disciplinary and adopts scientific methods in its analysis. Aside, policy analysis is involved in prescription of policies and strategies for tackling social problems. In policy advocacy, it helps to influence future policy choices. It focuses on the study of the causes, processes, formation, implementation and consequences of public policy. Finally, policy analysis encapsulates analysis of policy content, process, output and policy evaluation as well as process advocacy and policy advocacy.

## **6.0 TUTOR-MARKED ASSIGNMENTS (TMAs)**

- (i) Describe the characteristics of public policy analysis:
- (ii) Explain the scope of public policy analysis
- (iii) Discuss how Public Policy Analysis is multi-disciplinary in character.

## **7.0 REFERENCES/FURTHER READING**

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## **MODULE II: POLICY ANALYSIS AND ITS ENVIRONMENT**

UNIT 1: ECOLOGY OF PUBLIC POLICY ANALYSIS

UNIT 2: METHODS AND APPROACHES TO POLICY ANALYSIS

UNIT 3: THEORIES OF POLICY ANALYSIS

UNIT 4: POLICY MAKING CYCLE

### **UNIT 1: ECOLOGY OF PUBLIC POLICY ANALYSIS**

#### **CONTENTS**

- 1.0 Introduction
- 2.0 Objectives
- 3.0 Main Contents
  - 3.1 Political Factors
  - 3.2 Socio Economic and other Environmental factors.
- 4.0 Conclusion
- 5.0 Summary
- 6.0 Tutor-Marked Assignments
- 7.0 References/Further Reading

#### **1.0 INTRODUCTION**

Systems theory suggests that policy making cannot be adequately considered apart from the environment in which it takes place. Demands for policy actions are generated in the environment and transmitted to the political system; at the same time, the environment places limits and constraints upon what can be done by policy-makers. Included in the environment are such geographical characteristics natural resources, climate, and topography; demographical variables like population size, age distribution, and spatial location; political culture; social structure; and the economic system. Other nations become a significant part of the environment for foreign and defense policy. In this unit, we shall examine the ecology factors affecting the Public Policy Analysis, such as the: political factors. Socio-economic and other environmental factors.

#### **2.0 OBJECTIVES**

At the end of this unit, students would be able to:

- Understand the political factors affecting public policy analysis;

- Understand the socio-economic factors affecting public policy analysis;
- and understand other environmental factors affecting public policy analysis

### **3.0 MAIN CONTENT**

The term “Ecology” means the environment. Associating with public policy means that there are environmental factors influencing public policy analysis. Among these factors include: political factors, socio-economic factors and other environmental factors. Let us examine each factor in detail.

#### **3.1 POLITICAL CULTURE**

Every society has a culture that differentiates the values and life styles of its members from those of other societies. The anthropologist Clyde Klockhohn (1963:24) has defined culture as “the total life way of a people, the social legacy the individual acquires from his group. Or culture can be regarded as that part of the environment that is creation of man” (1965). Most social scientists seem agreed that culture shapes or influences social action, but that it does not fully determine it. It is only one of many factors that may affect human behaviour.

The portion of the general culture that can be designated as political culture are widely held values, beliefs, and attitudes concerning what governments should try to do and how they should operate, and the relationship between the citizen and government. Political culture is transmitted from one generation to another by a socialization process in which the individual through many experiences with parents, friend, teachers, political leaders, and others, learns politically relevant values, beliefs, and attitudes. Political culture, then is acquired by the individual becomes a part of his psychological makeup, and is manifested in his behaviour. Within a given society, variations among regions and groups may result in distinctive sub cultures. In the United States, there are noticeable variations in political culture between North and Douth, black and white, young and old. David J. Elazar (1966) in his book, American Federalism contends there are three individualistic and traditionalistic and mutations

thereof scattered throughout the United States. Where such variations exist, they clearly compound the tasks of description and analyses.

A well-known sociologist, Robin W. Williams, has identified a number of “major-value orientations” in American society. These include individual freedom, equality, progress, efficiency and practicality, values such as these- and others, such as democracy, individualism, and humanism-clearly have significance for policy-making. For example, the general approach of Americans to regulation of economic activity has been practical or pragmatic, emphasizing particular solutions to present problems rather than long-range planning or ideological consistency. Moreover, concern with individual freedom has created a general presumption against restriction of private activity in favour of the broadest scope possible for private action. Stress on individualism and private property finds expression in the notion that a person should generally be free to use his property as he sees fit.

Differences in public policy and policy-making in various countries can be explained at least partially in terms of political cultural variations e.g. Public medical care programmes are of longer standing and more numerous and extensive in western European countries than in United States, because there has been greater public expectation and acceptance of such programmes in western Europe. Again few people in Great Britain disapprove of government ownership of business, whereas few in the United States approve of it.

Karl Deutch suggests that the time orientation of people- their view of the relative importance of the past, the present, and the future- has implications for policy formation. A political culture oriented more to the past than to the present or future may better encourage preservation of monuments than the making of innovations. It may enact legislation on old-age pension years before expanding public higher education. Thus, Great Britain passed an old-age pension law in 1980, but it did not significantly expand public higher education until after 1960. In contrast, Deutch notes that the United States, with a more future-oriented culture, adopted legislation in 1862 providing for land-grant colleges and in 1935 for social security.

Almond and Verba (1966) have differentiated between parochial, subject, and participant political culture, citizens have little awareness of, or orientation toward, wither the political system as a whole, the input process, the output process, or the citizen as a political participant. The parochial expect nothing from the system. It is suggested that some African chiefdoms and kingdoms and tribal societies, and modern day Italy, are illustrative of parochial political cultures. In a subject political culture, like that of Germany, the citizen is oriented toward the political system and the output process; yet, he has little awareness of input processes or himself as participant. He is aware of governmental authority, he may like or dislike it, but he is essentially passive. He is, as the term implies, a subject.

In the participant political culture, which Almond and Verba (1966) found the United States to be citizens have a high level of political awareness and information and have explicit orientations towards the political system as a whole, its input and output processes, and meaningful citizens participation in politics. Include in this orientation is an understanding of how individual and groups can influence decision-making. Some of the implications of these differences in political culture for policy formation seem readily apparent. Obviously, citizens' participation in policy formation in a parochial political culture may believe that he can do little to influence public policy whether he likes it or not.

This may lead to passive acceptance of governmental action that may be rather authoritarian in style. In some instances, frustration amend resentment may build until redress or change is sought through violence. In the participant political culture, individuals may organize into groups and otherwise seek to influence government action to rectify their grievances. Governments and public policy, is viewed as controllable by citizens. Also, one can assume that more demands will be made on government in a participant political culture than in either a parochial or a subject culture.

Thus, political culture helps shape political behaviour; it is related to the frequency and probability of various kinds of behaviour and not their rigid determination.

Common values, beliefs and attitudes inform, guide and constrain the actions of both decision-makers and citizens. Political culture differences help ensure that public policy is more likely to favour economic competition in United States, for example, because opportunity is a widely held value while it is more likely tolerate industrial cartels in Western Germany, because economic competition has not been highly valued there. Some political scientists shy away from using political culture as an analytic tool because they see it as too imprecise and conjectural. Notwithstanding some truth to this view, political culture still has utility for the analysis and explanation of policy.

### **3.2 SOCIO-ECONOMIC AND OTHER ENVIRONMENTAL CONDITIONS**

The term socio-economic conditions are used here because it is often impossible to separate social and economic factors as they impinge on or influence political activity. Public policies can be usefully viewed as arising out of conflicts between different interests and desires. One of the prime sources of conflict especially in modern societies is economic activity. Conflicts may develop between the interests of big business and small business, employers and employees, debtors and creditors, wholesalers and retailers, chain stores and independents, consumers and sellers, farmers and the purchaser of farm commodities and so on. Groups that are underprivileged or dissatisfied with their current relationships with other groups in the economy may seek governmental assistance to improve their situation.

Customarily, it is the weaker or disadvantaged party (at least in a comparative sense) in a private conflict that seeks government involvement in the matter. The dominant group, the one that is able to achieve its goals satisfactorily by private action, has no incentive to bring government into the fray and usually will oppose government action as unnecessary or improper. Thus, it has been labour groups, dissatisfied with the wages resulting from private bargaining with employers that have sought minimum-wage legislation.

Satisfactory relationships between groups may be disrupted or altered by economic change or development, and those that feel adversely affected or threatened may

demand government action to protect their interests or establish new equilibriums. Rapid industrialization and growth of big business in the United States in the latter part of the nineteenth century produced new economic conditions. Farmers, small businessmen, reformist elements, and aggrieved others called for government action to control big business. The eventual result was the enactment of the Sherman Anti-trust Act by congress in 1890.

It is truism to state that a society's level of economy development will impose limits on what government can do in providing public goods and services to the community. Nonetheless, it is something that is sometimes overlooked by those who assume that the failure of governments to act on problems is invariably due to recalcitrance or unresponsiveness rather than limited resources. Clearly, one factor that affects what government can do in the way of welfare programmes is available economic resources. The scarcity of economic resources will of course, be more limiting in many of less-developed or "underdeveloped" countries of the world than in an affluent society such as the United States. Still, government in the United States does not have available economic resources to do everything that everyone wants done. Moreover, resources are very unequally distributed among states and local government.

Social conflict and change also provoke demands for government action. Recently in the United States, growing concern about women's rights and the increased use (and acceptance) of marijuana, especially by middle-class people, have produced demands for alteration in public policies to provide greater protection for women's rights (including the right to have abortions) and lesser penalties for the use of marijuana. Those with conflicting interests and values have opposed such demands, with the consequences that public officials often find themselves had pressed to devised acceptable policy solutions.

Dye (1976k) studied the policy outputs in the fifty states to determine how socio-economic conditions influence public policies. He contended that the level of economic development (as measured by such variables as per capital income, percent

urban population, medium level of education, and industrial employment) had a dominant influence on state policies on such matter as education, welfare, high ways, taxation and public regulation. The impact of economic development was compared with impact of the political system. He found that political variables (vote, participation, interparty competition, political party strength, and legislative appointment) had only a weak relationship to public policy. Thus, Dye's argument was that political variables are clearly subordinated to socio-economic factors.

Another study attempting to demonstrate the stronger impact of socio-economic than political factors on policy was done by Dawson and Robinson (1963) in this essay, "the relation between public policy and some structural and environmental variables in United States". They analyzed the effect of interparty competition and some economic variables on public welfare policy to determine whether party competition had a significant influence on welfare policy (especially expenditures). They concluded that environmental factors had a greater impact than party competition. The level of public social welfare programmes in American states seems to be more a function of socio-economic factors, especially per capital income".

The conclusion of these and similar studies were quickly accepted by some political scientists. But, while not discounting the importance of socio-economic factors in influencing policy outputs, they indicate there are a number of problems and limitations in their studies. First, there is a tendency to exaggerate the strength of the economy-policy relationships. Thus, "Dye reports 456 coefficients of simple correlations between policy measures and his four economic measures of income, urbanism, industrialization and education, but only 16 of them (4 percent) are strong enough to indicate that an economic measure explains at least one half the interstate variations in policy".

Another limitation is that most of these studies are concerned with the statistical relationships between various political and socio-economic variables and public policy. If, when condition A exists, policy B usually occurs with it and the relationship is not caused by some third factor, then we can predict that, when A

exists, B will occur. However, such a prediction is not an explanation, and we are still left with the task of explaining how political decisions are actually made. If per capital income is directly related to the level of welfare spending, then we must try to explaining how political decisions are actually made. If per capital income is directly related to the level of welfare spending, then we must try to explain the relationship. This is neither an insignificant task nor an easy one. Glib answers should be avoided.

Two conclusions can be fairly drawn from this discussion. One is that to understand how policy decisions are made and why some decisions are made rather than others, we must consider social and economic as well as political factors. The second is that whether socio economic factors are more important than political factors in shaping public policy s still an open question. Most of the research along this line has been focused on America states, and it is less than conclusive.

### **SELF-ASSESSMENT EXERCISE**

Discuss how political culture influences Public Policy Analysis

### **4.0 CONCLUSION**

In this unit, we have been able to explain the ecological context of public policy analysis. Public Policy Analysis affects variety of areas and issues that concern government activities. Many environmental factors influence the actions and performances of government. It comprises of political culture, the economy, social welfare issues, foreign affairs, globalization and other factors within external and internal environment. These factors influence policy analysts when generating and prescribing policy options to policy makers.

### **5.0 SUMMARY**

Most social scientists seem agreed that culture shapes or influences social action, but that it does not fully determine it. It is only one of many factors that may affect human behaviour. The portion of the general culture that can be designated as political culture are widely held values, beliefs, and attitudes concerning what governments should try to do and how they should operate, and the relationship between the citizen

and government. On the other hand, the term socio-economic conditions is used here because it is often impossible to separate social and economic factors as they impinge on or influence political activity. It is truism to state that a society's level of economy development will impose limits on what government can do in providing public goods and services to the community. Public policies can be usefully viewed as arising out of conflicts between different interests and desires. One of the prime sources of conflict especially in modern societies is economic activity. This, therefore, influences the capacity of government in terms of their outputs and outcomes.

## **6.0 TUTOR-MARKED ASSIGNMENTS (TMAs)**

- (i) Describe the influence of political cultural factors on public policy analysis
- (ii) Explain how socio-economic factors influence public policy analysis

## **7.0 REFERENCES/FURTHER READING**

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## **UNIT 2: METHODS AND APPROACHES TO POLICY ANALYSIS**

### **CONTENT**

- 1.0 Introduction
- 2.0 Objectives
- 3.0 Main Contents
  - 3.1 Descriptive Approach
  - 3.2 Prescriptive Approach
  - 3.3 Qualitative Approach
  - 3.4 Quantitative Approach
  - 3.5 Micro-analytic Approach
  - 3.6 Macro-analytic Approach
- 4.0 Conclusion
- 5.0 Summary
- 6.0 Tutor-Marked Assignment
- 7.0 References/Further Reading

### **1.0 INTRODUCTION**

There are several approaches and methods of studying public policy analysis. However, two major schools of thought emerged as to what should be the approach to study policy analysis. One school of thought holds on to the view that policy analysis could be studied using the descriptive approach, while the other school of thought argues in favour of the prescriptive paradigm. In this unit, we shall examine the two schools of thought.

### **2.0 OBJECTIVES**

At the end of this unit, students would be able to:

- Describe the descriptive approach to the study of policy analysis and
- Explain the prescriptive approach to the study of policy analysis

### **3.0 MAIN CONTENT**

#### **3.1 THE DESCRIPTIVE APPROACH**

This school of thought seeks understanding public policy at the level of descriptions and explanation of government activities and policies. The focus is on the history, development, causes, implementation, consequences and problems of public policies. Descriptive studies in policy analysis have certain characteristics:

- (1) They are more of academic studies which are not geared towards the needs or prompts of clients or policy actors;
- (2) They seek the understanding of policy processes, policy problem and situations;
- (3) They are more concerned with the investigations of policy contents, implementation, output and impact of particular policies. Thus, many descriptive studies are at the micro-level;
- (4) Many descriptive studies are evaluator. However, many of the evaluator studies are retrospective and relate to studies of on-going or completed programmes (Ikelegbe, 1996:24).

In summary, this school of thought believes that public policy in this paradigm should be described and explained. The approach investigates and reports on the typical behavior of policy makers. We can explain the approach as follows:

- Consider a behavioural perspective
- Pick a policy-making territory
- Study particular cases
- Categorize observations
- Report on cases and generalize observations, identifying methodologies in use

So, it means that policies are made in different areas of behavior. The perspective taken in the analysis of policies is behavioural, and behavior observation is the principal means of gathering information for policy analysis. Human ability to observe and analyse the total world of experience is limited. Attention is, therefore, directed to a particular case each time.

### **3.2 PRESCRIPTIVE APPROACH**

The proponents of this paradigm are that public policy should focus on the fundamental problems of the society and aim to assist in the achievement or realization human dignity. Scholars in this school of thought include: Harold Lasswell (1951); Yehezkel Dror (1971); and Hald Wildavsky, (1979). Lasswell, (1951) suggested a perspective of analysis that policy analyst should concentrate on the fundamental problems of man in the society and aim to assist in the achievement or

realization of human dignity. His writing was suggestive of the limit of analysis which indicates that policy analysis should not stop at the descriptive both in theory and in practice. He was underscoring policy-orientation which cannot be fulfilled in the descriptive paradigm. Dror, (1971), on his part suggested an approach to policy analysis and posits that the policy analysts are essential for the improvement of the human condition, so as to be able to avoid catastrophe. Like Lasswell, he was also advocating an approach to policy analysis that should obliterate human catastrophe.

This orientation or prescription cannot also be accomplished in the descriptive paradigm. Wildavsky (1979) in his “politics of the budgetary process” contends that policy analysis is a problem-centred activity. This implies that policy analysis must be concerned with the problems facing policy-makers and must aim at ameliorating these problems through creativity, imagination and craftsmanship. He believes that policy-maker should engage himself in action if he is to solve social problem. This action involves a combination of what he calls intellectual capitulation (thinking how is seeking) solutions to problems) and social interaction.

Therefore, he calls for an intellectual perspective that combines understanding with advocacy which should be the point of analysis, rather than looking at the two perspectives as mutually exclusive. They should be looked at in terms of their complimenting one another. Wildavsky, (1979), therefore, advocates a combination of the two perspectives in order to reap the optimum benefits of analysis. The school of thought believe that prescriptive approach is essentially the generation of data or information and analyses directed at better policy-making and performances. It could be said to have four characteristics (Ikelegbe, 1996:23):

- It is analytical, emphasizing the generation of data analyzed with social science techniques or methodologies;
- The studies are goal and problem-oriented; they are directed at specific problems. The goal is to proffer solutions and advice;
- It advocates policy options. This is done as a solution to policy problem addressed and is directed to improve social and societal well-being;

- Prescriptive studies tend to be more client-oriented, as they tend to address issues relevant to policy actors or that have been suggested by such actors.

This approach examines policy analysis from philosophical perspective. It is essentially the generation and examination of information on the existing practice of policy analysis directed at better policy making and performance. The approach prescribes how policy-making ought to occur, and it proffers methods for achieving more effective and efficient policy outputs. The goal is to arrive at the generation of ideal policies for improving social and societal well being. A simplified procedure for adopting this is to (Owolabi, 2005: 42):

- Take an ideal philosophical perspective
- Critically examine how policies ought to be made in ideal circumstances
- Set forth methodological prescriptions for policy-making

This normative approach to policy analysis has two areas. Research and analysis are directed at better policy making. This requires the marshalling of models, strategies and techniques to adopt for improving the practice of policy making. The second area is evaluation aimed at improving the performances of the policies in vogue. The evaluative study could be prospective or retrospective.

### **3.3 QUALITATIVE APPROACH**

This is a narrative approach to policy analysis. The approach eschews quantification of information and the use of statistical techniques for data analysis. Decisions are not informed by any inferential analysis of statistical data, but rather by mere logical reasoning. Emphasis is placed on philosophical, legal, and ethical dimensions of policy issues, problems and incidents. Descriptions and narrations are the main tools of policy analysis. The policy process is described, the implementation is narrated and the impact is reported with no reference to any rigorous quantitative method. Both the descriptive and prescriptive approaches to policy analysis can be analyzed qualitatively.

### **3.4 QUANTITATIVE APPROACH**

In contrast to qualitative methods of describing policy analysis, there is quantitative approach. In this approach, policy analysis relies very heavily on quantitative data and quantitative techniques of data analysis. The techniques used can vary from

simple calculation of means or percentages to the complex analysis of variances. Linear regression is commonly used in policy analysis. Both the descriptive and inferential statistics are employed to analyze policy. Policy decisions are informed by the result of statistical analysis.

### **3.5 MICRO ANALYTIC APPROACH**

The micro or case study approach concentrates on the study of the analysis of specific policies. It does not attempt to consider general patterns of policy behavior but makes a case-by-case study of public policy analysis. For each particular policy a thorough investigation is made into the process of generating options, evaluating the options, selecting, implementing and assessing an option. The approach is basically descriptive but it can, as well, be used to prescribe in a specified policy analysis territory. The prescription cannot, however, be generalized. The advantage of this approach is that detailed examination and provision of exhaustive information is clearly understood. The disadvantage is that it has a narrow focus of the analysis.

### **3.6 MACRO-ANALYTIC APPROACH**

Macro studies focus on general aspects of policy analysis. The approach takes a global view of policy making and analysis and emphasizes the development of broad knowledge and understanding of the nature of public policies. The objective of macro studies is to provide an insight into the nature of public policies and prepare analysts for operating effectively in any policy analysis territory. Macro studies provide broad concepts, theories, tools and models for policy making and analysis in a broad range of policy environments. The approach repudiates the narrow focus and specificity of case studies with all its deficiencies.

Some macro studies concentrate on describing the dynamics of policy making and analysis, actions and inter-actions between groups, individuals and institutional structures. Some narrow their focus on theories and models to explain and interpret policy issues. Other groups of macro studies direct attention to different policy areas. Policy area study is different from cases studies in that there are myriad of cases in a policy area, for example, Economic, Education, Agriculture, Health, Foreign policies

and so on. The study of these areas permits in-depth studies of policy analysis in the policy areas.

### **SELF-ASSESSMENT EXERCISE**

Describe descriptive approach to the study of policy analysis

#### **4.0 CONCLUSION**

In this unit, we have been able to explain the descriptive, prescriptive, qualitative, quantitative, micro-analytical and macro-analytic approaches to the study of policy analysis. The approaches relate to the study of policy research. Descriptive studies are usually qualitative with some mix of quantification. Prescriptive studies, on the other hand, could also use qualitative or quantitative methods, but are largely quantitative. However, most policy research uses more than one approach as illustrated from the unit. Sometimes, the two approaches are combined.

#### **5.0 SUMMARY**

In summary, the school of thought is concerned on how to improve public policy outputs. It is concerned with the application of systematic knowledge, structured rationality, organized creativity to better policy-making. Those who advocate the prescriptive paradigm are concerned with how to improve policy in order to alleviate social problems that bedevil the society. In spite of all these submissions, the debate between the two schools of thoughts is still on, as to what should be the limit of policy analysis and there appear not to be a ray of hope on the resolution of the debate on the horizon. Both the descriptive and prescriptive approaches to policy analysis can be analyzed quantitatively, qualitatively. Sometimes, all the approaches discussed can be combined in policy analysis.

#### **6.0 TUTOR-MARKED ASSIGNMENTS (TMAs)**

1. Explain qualitative and quantitative approaches as tools of policy analysis
2. Analyse prescriptive approach

## **7.0 REFERENCES/FURTHER READING**

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## **UNIT 3: THEORIES OF POLICY MAKING**

### **CONTENTS**

- 1.0 Introduction
- 2.0 Objectives
- 3.0 Main Contents
  - 3.1 System theory
  - 3.2 Group theory
  - 3.3 Elite Theory
  - 3.4 Institutional theory
  - 3.5 Process Theory
- 4.0 Conclusion
- 5.0 Summary
- 6.0 Tutor-Marked Assignment
- 7.0 References/Further Studies

### **1.0 INTRODUCTION**

The theories of policy-making can be explained as the source of policy flow or towards who wields policy-making powers in a society. Theories guide the policy analysis. It explains the phenomena and in so doing, it must be logical, sensible and empirically observable. A model, on the other hand, in policy analysis is made up of variables that are relevant to the problem of concern and the relations among the variables (Nachimias, 1979:91). In policy analysis, conceptual models are used. In this unit, we shall examine selected theories and models used in studying policy analysis.

### **2.0 OBJECTIVES**

At the end of this unit, students would be able to:

- Describe system model to the study of policy analysis
- Describe group theory as to the study of policy analysis
- Describe elite model to the study of policy analysis
- Describe institutional model to the study of policy analysis

### **3.0 MAIN CONTENT**

#### **3.1 POLITICAL SYSTEMS THEORY**

Public policy may be viewed as the response of a political system to demands arising from its environment. The political system, as defined by Easton,(1965) is composed of those identifiable and interrelated institutions and activities in a society that make authoritative decisions (or allocations of values) that are binding on society. Inputs into the political system from the environment consist of demands and supports. The environment consists of all those conditions and events external to the boundaries of the political system. Demands are the claims made by individuals and groups on the political system for action to satisfy their interests. Support is rendered when groups and individuals abide by election results, pay taxes, obey law, and otherwise accept the decisions and actions of the authoritative political system made in response to demands.

These authoritative allocations of values constitute public policy. The concept of feedback indicates that public policies (or outputs) may subsequently alter the environment and the demands generated therein, as well as the character of the political system itself. Policy outputs may produce new demands, which lead to further policy outputs, and so on in a continuing, and never ending flow of public policy. Political system theory is useful in understanding the policy-making process and its value to policy analysis lies in the questions that it asks:

- What are the important dimensions of the environment that generate demands upon the political system?
- What are significant characteristics of the political system that enable it to transform demands into public policy and to preserve itself over time?
- How do environmental inputs affect the character of the political system?
- How do the characteristics of the political system affect the content of public policy?
- How do environmental inputs affect the content of public policy?

- Finally, how does public policy affect, through feedback, the environment and the character of the political system?

The usefulness of systems theory for the study of public policy analysis is limited by its highly general nature. It does not say much concerning how decisions are made and policy is developed within the “black box” called that political system. Nonetheless, systems theory is a useful aid in organizing inquiry into policy formation. However, the usefulness of the system model is limited due to several factors. First, this model is criticized for employing the value-laden techniques of welfare economics, which are based on the maximization of a clearly defined “social welfare function”. The missing ingredients in the systems approach are the “power, personnel and institutions” of policy making.

In examining these, there is need to note that decision-makers are strongly constrained by economic factors in the environment of the political system. Secondly, the model also ignores an important element of the policy process, namely, that the policy makers (including institutions) have also a considerable potential in influencing the environment within which they operate. The traditional input-output model would see the decision-making system as “facilitative” and value-free rather than “causative” that is as a completely neutral structure. In other words, structure variations in the systems are found to have no direct casual effect on public policy.

Finally, the extent to which the environment, both internal and external is said to have an influence on the policy-making process is determined by the values and ideologies held by the decision-makers in the system. It suggests that policy-making involves not only the policy content but also the policy-makers perceptions and values. The values held by the policy-makers are fundamentally assumed to be crucial in understanding the policy alternatives that are made (Basu, 2004:443).

### **3.2 GROUP THEORY**

According to the group theory of politics, public policy is the product of the group struggle. As one writer states: “what may be called public policy is the equilibrium

research in this (group) struggle at any given moment, and it represents a balance which the contending factors or groups constantly strive to weight in their favor". Group theory rests on the contention that interaction and struggle among groups in the central fact of political life. A group is a collection of individuals that may, on the basis of shared attitudes or interests, make claims upon other groups in society. It becomes a political interest group "when it makes a claim through or upon any of the institutions of government. And of course, many groups do just that. The individual is significant in politics only as he is a participant in, or a representative of groups. It is through groups that individuals seek to secure their political preferences.

Public policy, at any given time, will reflect the interest of dominant groups. As groups gain and lose power and influence, public policy will be altered in favour of the interests of those losing influence. Group theory, while focusing attention on one of the major dynamic elements in policy formation, especially in pluralist societies, such as the United States, seems both to overstate the importance of groups and to understate the independent and creative role that public officials play in the policy process. Indeed, many groups have been generated by public policy.

The American farm bureau federation, which developed around the agricultural extension programme is a notable example, as is the National welfare rights organization. Public officials also may acquire a stake in particular programmes and act as an interest group in support of their continuance. Finally, we should note that it is rather misleading and inefficient to try to explain politics or policy formation in terms of group struggle without giving attention to the many other factors for example, ideas and institutions that abound. This sort of reductionist explanation should be avoided.

### **3.3 ELITE THEORY**

In this approach, public policy can be regarded as the values and preferences of the governing elites. The essential argument of the elite theory is that it is not the people or the "masses" who determine public policy through their demands and action, rather, public policy is decided by ruling elite and effected by public officials and

agencies. Dye and Zeigler, (1981) in the “Irony of Democracy” provide a summary of the elite theory:

- (i) Society is divided into the few who have power and the many that do not. Only this small number of privileged persons allocate values for society, the masses do not decide public policy;
- (ii) The few who govern are typical of the masses who are governed. The elites are drawn disproportionately from the upper socio-economic strata of society;
- (iii) Movement of the non-elite to elite positions must be slow and continuous to maintain stability and avoid revolution. Only the non-elite who have accepted the basic elite consensus can be admitted to governing circles;
- (iv) The elites share a consensus on the basic values of the social system and the preservation of the system;
- (v) Public policy does not reflect demands of the masses but rather the prevailing values of the elite. Changes in public policy will be incremental changes permit responses to events that threaten a social system with a minimum of alteration or dislocation of the system;
- (vi) Active members of the elites are subject to relatively little direct influence from apathetic masses. The elites influence the masses more than masses influence the elite.

So stated, the elite theory is a rather provocative theory of policy formation. Policy is the product of the elite, reflecting their values and serving their ends, one of which may be a desire to provide for the welfare of the masses. Thus, elite theory does focus our attention on the role of leadership in policy formation and on the fact that, in any political system, a few govern the many. However, whether the elite rule, and determine policy, with little influence by the masses is a difficult proposition to handle.

### **3.4 INSTITUTIONAL THEORY**

The study of government institutions is one of the oldest of political science. The approach focuses on the formal or structural aspects of an institution and can be adopted in policy analysis. An institution is a set of regularized patterns of human behavior that persist over time. Some people, unsophisticated, of-course, seem to equate institutions with the physical structures in which they exist. It is their differing sets of behavior, which we often call rules, structures and the like, that can affect decision-making and the content of public policy. Rules and structural arrangements are usually not neutral in their impact, rather, they tend to favour some interests in society over others, some policy results rather than others. Public policy is formulated, implemented and enforced by government institutions.

Government institutions give legal authority to policies and can legally impose sanctions on violators of its policies. As such, there is a close relationship between public policy and governmental institutions. It is not surprising, then, that political scientists would focus on the study of governmental structures and institutions. Institutionalism, with its focus on the legal and structural aspects can be applied in policy analysis. The structures and institutions and their arrangements and can have a significant impact on public policy. Traditionally, the focus of study was the description of government structures and institutions. The study of linkage between government structures and policy outcomes remained largely unanalyzed and neglected.

The value of the institutional approach to policy analysis lies in asking what relationships exist between institutional arrangements and the content of public policy and also in investigating these relationships in a comparative manner. It would not be correct to assume that a particular change in institutional structure would bring about changes in public policy. Without investigating the actual relationship between structure and policy, it is difficult to assess the impact of institutional arrangements on public policies.

### **3.5 PROCESS THEORY**

This is similar in some ways to the systems theory. But instead of looking at policy outputs as consequences of environmental inputs, it focuses on the process or procedure of policy formulation. There are identifiable patterns of political activities or processes which often culminate in the formulation of public policies. The policy processes are as follow:

- Policy formation
- Agenda setting
- Policy formulation
- Policy enactment
- Policy implementation and
- Policy evaluation

The approach is cyclical. However, it should be noted that a change in the process of policy making may not bring about changes in the content of policies. It appears that social, political, economic and technological constraints on policy makers in developing countries are so many that changing either the formal or informal processes of decision making may or may not change the content of public policy.

### **SELF-ASSESSMENT EXERCISE**

Describe the system model and explain how it could be used to study public policy analysis

### **4.0 CONCLUSION**

We have been able to describe theories and models of public policy analysis. Political systems theory, group theory, elite theory and institutional theory among others, provide useful framework for analyzing public policy analysis. The political system is useful in understanding policy-making process and its value to policy analysis lies on how the environmental inputs affect the character of the political system. The

institutional model also helps us to study the linkage between government structures and policy outcomes.

## **5.0 SUMMARY**

In summary, political systems theory, group theory, elite theory and institutional structures, arrangements and procedures can have a significant impact on public policy and should not be ignored in policy analysis. Neither, should an analysis of them without concern for the dynamic aspects of politics, be considered adequate. The systems theory paint a linear process, in which the political system converts into policy the demands, needs and orientations expressed in the environment. The elite and group theories explain policy making, rather from the perspective of who are the key actors and wields the greatest influence or power. The elite and group accept that the political system converts environmental stimuli into policy, but, it is the elites and groups, that dominate the articulation and expression of the content and direction of policy reaction by the political system. Thus, the theories/models enable better explanation of the policy process.

## **6.0 TUTOR-MARKED ASSIGNMENTS (TMAs)**

1. Describe the role of institutional theory to the study of public policy analysis
2. Describe the role of systems theory in the study of public policy analysis and its limitations
- 3.

## **7.0 REFERENCES/FURTHER READING**

- Basu, R. (2004). *Public Administration: Concepts and Theories*. New Delhi: Sterling Publishers Pvt. Ltd.
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## **UNIT 4: POLICY MAKING CYCLE**

### **CONTENTS**

1.0	Introduction
2.0	Objectives
3.0	Main contents
3.1	Meaning of public policy
3.2	Stages in public policy process
4.0	Conclusion
5.0	Summary
6.0	Tutor-Marked Assignments
7.0	References/Further Reading

### **1.0 INTRODUCTION**

Until the 1930s, government paperwork (forms, reports, information requests) was not perceived as a public problem. Up to that time the national government has only limited direct contact with citizens. From 1930s, there was great expansion of governmental programs, especially World War II, government programs dramatically increased and citizens and public organizations became interested in information because of burden imposed by government actions. Paperwork and government activities became perceived as a public problem and thus, the interest in public policy. In this unit, we would examine the concept of public policy and its processes. Let us first all examine its meaning.

### **2.0 OBJECTIVES**

At the end of the unit, students would be able to:

- Understand the meaning of Public Policy and
- Explain the stages in public policy process

### **3.0 MAIN CONTENT**

#### **3.1 MEANING OF PUBLIC POLICY**

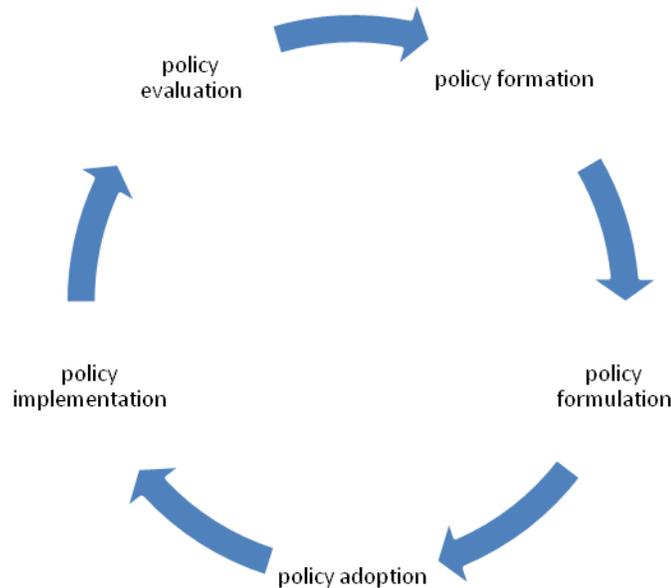
Public policy has been variably defined. In majority of cases, differences in definitions are semantic than substantive. The Longman's Dictionary of Contemporary English defines policy as "a plan or course of action in directing affairs, as chosen by a political party, government, Business Company, etc". Sharkansky (1975:4) defines it as "important activities of government". Simons (1974) define it as "an indication of an intention, a guide to action encompassing vales which set priorities and relations between government societies".

Freeman and Sherwoods (1968) define it as "the public response to the interest in improving the human conditions". Mackinney and define it as "what happen to people as a consequence of what the government does". The convergence point of these definitions is that public policy is "what" and "how" of government activities. It is purposeful statements, written or oral, aimed at solving a particular problem or problems. Public policy is the guide or framework, government has designed to direction and practices in certain problem areas.

#### **3.2 POLICY MAKING PROCESS**

Policy making is the process by which the government or enterprise develops or formulates and implements an effective strategy to meet desired objectives. Strategy in this context is the unified comprehensive plan that is developed to reach these objectives. Public policy process can be classified into five stages, as illustrated in figure (1) below:

Fig. 1: Public Policy Cycle or Process



However, Anderson, Brady and Bullock, (1978: 8) have suggested a model for public policy process, which made of six stages:

### **3.2.1 POLICY FORMATION STAGE**

#### **STAGE 1: PROBLEM IDENTIFICATION**

This involves a situation where human needs, deprivation or dissatisfaction appear that must be addressed. If enough people believe the nature of the problem is such that government should respond, it then becomes a public rather than a private problem. Public problems involve large numbers of people and have broad-ranging effects including consequences for people not directly involved such as national minimum wage. Thus problem identification entails the demand for action to resolve a problem.

#### **STAGE 2: POLICY AGENDA**

These are problems among many, which receive the government serious attention. Not all problems get policy agenda stage. Those that do reach there, get there by a variety of routes.

#### **APPROACHES TO AGENDA SETTING**

There are three approaches to agenda setting in a democratic society (Stones, 1977: 37-8)

### **1. LET IT HAPPEN APPROACH**

Here government takes a relatively passive role but maintains channels of access and communication so that those affected can be heard. This approach has its problems as the success depends on many of the principles of group theory, which states that people will define its own interests, organize and seek access, involve others in support of their cause; influence decision-making, monitor implementation and so on.

### **2. ENCOURAGE IT TO HAPPEN APPROACH**

Here, government reaches out to people in defining and articulating their problems. The emphasis here is that government equips people to participate not identifying and defining problems for them.

### **3. MAKE IT HAPPEN APPROACH**

In this approach, government plays an active part in defining problem and setting goals. In other words, government defines problems, set priorities and establishes goals with the two other approaches as well. However, one drawback with this system is that it places enormous burden on government. Out of these three approaches, “make it happen” approach is predominant in example, government decision-makers try to make it happen” in foreign issues. They try to define the problems set the priorities than domestic issues some critics also feel that deference establishments are influenced by certain basic industries, hence decision-makers “let it happen” that is allow such industries to define the problems and set the priorities.

In spite of these classifications, agenda setting approaches are not mutually exclusive. The breakdown of agenda setting into three approaches is to assist analysts understand government action on individual public problems and facilitate comparisons between issues. Whether a problem gets on the public policy agenda or not depends on the power, stature and number of people in the interest group political leadership influence agenda setting. The office of the president in Nigeria plays a great role in this regard. Beside these, approaches,

crisis, events, such as wars and depressions as well as protests and demonstrations put problems on the policy agenda.

### **3.2.2 POLICY FORMULATION STAGE**

This involves the development of pertinent and acceptable proposed courses of action for dealing with public problems. Policy formulation in Nigeria is often done by the president and his immediate advisers, other members of the executive branch, career and appointed administrative officials, specially appointed committees and commissions and legislators, who introduce bills for consideration by the national assembly.

#### **TYPES OF FORMULATION**

Many types of formulation can be identified depending on the criteria for classification. However, the most interesting and useful basis for identifies the nature of decision-making. Three types can be identified (Jones, 1977; 56).

- Routine formulation: A repetitive and essentially changeless process of reformulating similar proposals within an issue area that has a well-established place on the agenda of government.
- Analogous formulation: Treating a new problem by relying on what was done in developing proposals for similar problems in the past i.e. searching for analogies.
- Creative formulation: Treating any problem with an essentially unprecedented proposal one, which represents a break with past practice. However, it is sometimes to see creative formulation government as many proposals are normally modified along the way towards past practices during the implementation stage.

Policy formulation process includes the following:

- (i) The identification of the policy issues/problems
- (ii) Specification of objectives/targets
- (iii) Development of options/strategies
- (iv) Selection of preferred option/strategies
- (v) Policy decision-making
- (vi) Design of implementation strategy; and

(vii)

### Policy review and reformulation

The conception of the problems could be identification of the policy issues/problems against the background of the peoples' needs and societal problems. Problems have to be perceived, interpreted and defined. The distribution of social problems can be identified by the use of sample survey technique for data and data processing capacity of computers.

The process of policy formulation requires wide consultation prior to the initiation of policy and involvement of stakeholders, particularly labour unions, the organized private sector, the civil society and lower tiers of government, legislative and executive arms of government and so on.

### **3.2.3 POLICY ADOPTION STAGE**

Legitimizing of public policy is the fourth stage. This process means having a particular proposal authorized. Formulators do not think only of problems and how to solve them, but whether the course of action is feasible getting it authorized. Decision or choices of policy requires some authoritative ratification as an aspect of the principle of public accountability. While decision may be effectively reached at one level, they will often be authorized and confirmed at another. Therefore, some strategic considerations are directed toward the legitimization of process – building support for a proposed course of action, maintaining support held previously, deciding where compromises can be made; calculating when and where to make the strongest play and controlling information flow to advantages.

This is often done by the notion of majority lobby building in legislature. In other words, a course of action is legitimate when a majority in both houses of the legislature (National Assembly) approves and the chief Executive affixes his signature to the measure. So, given the necessity for building majority in a given course of action, formulators of policies must consider all factors involved in its legitimating process. However, the most formal adoption strategy is one of proposal, legislative approval and Presidential (Executive) signature. Although, there are other adoption strategies that exist in government (Anderson et. al, 1978:9-10).

### **3.2.4 POLICY IMPLEMENTATION**

Policy implementation is the process of assembling resources (including people), allocating resources and utilizing resources (operations), in order to achieve policy objectives. The administrative agencies are the primary implementers of public policy, but the judiciary and legislature are also involved. The legislature may overrule the decision of the executive by two-third majority, while the Courts interpret statutes and administrative rules and regulations. Agencies also make “administrative laws” through delegated legislative authority by the legislature when implementing statutes passed by the congress or National Assembly. The application of a public policy passed by the Legislature can change the nature of the policy itself, as implementation often affects policy content (Anderson, et al, 1978:10-11).

### **3.2.5 POLICY MONITORING AND EVALUATION STAGE**

This is the last stage of the policy process. It involves an attempt to determine whether a policy has actually worked. It is essential to monitor formulated policies during implementation. Monitoring involves the assessment of progress on policies, programmes and projects in comparison with what was initially planned. Its object is the detection of deviations, so that corrective measures could be applied. Evaluation, on the other hand, is concerned more with results of a policy or programme. It tries to determine the relevance, effectiveness and impact of policy and programme activities in the light of their objectives. It is also concerned with the efficiency with which programmes are implemented. Such an evaluation can lead to additional policy formulation to correct deficiencies. Anderson, Brady and Bullock, (1978) categorized evaluation in two ways:

- Political evaluation to assess the political feasibility of the policy;
- Systematic evaluation seeks to objectively measure the impact of the policies and determine how well objectives are actually accomplished. Such an evaluation focuses on the effects which a policy has on the problem to which it is directed.

### **SELF-ASSESSMENT EXERCISE**

Describe the formation and formulation of public policy

#### **4.0 CONCLUSION**

The public policy is a process. It entails issue or problem search, filtration and definition, formulation, adoption, implementation, monitoring and evaluation. The existence of monitoring and evaluation, however, does not totally prevent policy failure. This necessitates policy review and evaluation. Evaluation assesses the impact of policy and provides feedback to improve policy implementation. It systematically judges the value of changes (planned and unplanned) resulting from policy and project against the original plan.

#### **5.0 SUMMARY**

This unit explains the policy process. The main stages of the policy process described include: problem identification, policy formulation, policy implementation and evaluation. Public policy is cyclical. Here, Policy issues or problems identified, filtered and defined during formation and formulation stage of policy making process. As policy decisions or approval are made and implemented, criticism in the form of feedback puts new decisions on the policy agenda. This starts the policy-making cycle all over again.

#### **6.0 TUTOR-MARKED ASSIGNMENTS (TMAs)**

- (a) Describe what you understand by public policy implementation
- (b) Explain the stages in public policy process
- (c) Describe the public policy adoption process

#### **7.0 REFERENCES/FURTHER READING**

Anderson, J.E (2003). *Public Policy-making, 5<sup>th</sup> edition*. New York: Houghton Mifflin Company.

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## **MODULE III**

### **POLICY-MAKING AND POLICY ANALYSIS**

#### **CONTENTS**

#### **UNIT 1: ACTORS IN PUBLIC POLICY PROCESS**

#### **UNIT 2: MODELS OF POLICY- MAKING**

#### **UNIT 3: TOOLS OF POLICY-MAKING ANALYSIS**

#### **UNIT 4: PHASES IN PUBLIC POLICY ANALYSIS**

#### **UNIT 1: ACTORS IN PUBLIC POLICY-MAKING**

##### **CONTENTS**

1.0	Introduction
2.0	Objectives
3.0	Main Contents
3.1	Role of Official Actors
3.2	Role of unofficial Actors
4.0	Conclusion
5.0	Summary
6.0	Tutor-Marked Assignment
7.0	References/Further Reading

##### **1.0 INTRODUCTION**

The official Actors in public policy process are those who are legally empowered to formulate public policy. They are those who occupy the formal offices prescribed by the political community as authoritative. They are members of the legislature, local councilors, ministers, senior officials and judges. Since governments at the national level are formed usually by the leaders of the political party with the majority of seats in the legislature, it is important to understand how the parliamentary leadership is likely to behave. Unofficial Actors include the political parties, interest groups and citizens. In this unit, we shall examine each official and unofficial actor in public policy making process.

## **2.0 OBJECTIVES**

At the end of the unit, students would be able to:

- Explain the role of official Actors in public policy making process
- Understand the indirect role of unofficial Actors in public policy-making process.

## **3.0 MAIN CONTENT**

### **3.1 EXECUTIVE**

One dimension of the study of policy-making attempts to assess the role of the executive. Modern governments everywhere rely on executive leadership both in policy formation and policy implementation. In the United Kingdom with parliamentary system operating cabinet government, the governments in most cases rely on their back-benchers to provide them with the majorities necessary to conduct government business. In Nigeria, where presidential system of government is in vogue the federal executive councils and state executive councils cabinets are the central organs of public policy formulation and implementation. The executive arm of government has a legal authority in public policy formulation. It is one the official Actors. The executive councils collectively reach decisions on various policy matters placed before them at cabinet meetings. For example, various policy initiatives emanate from ministries, departments and agencies of government.

### **3.2 LEGISLATURE**

The legislature, comprising the national assembly and state and local government council assemblies in Nigeria, also play a notable role in policy-making. Under democracy implementation of most policies can only commence when the appropriate legislation has been put in place and money appropriated in the budget for the programmes and initiatives requiring legislation, such as those on anti-corruption, privatization and trade union” Act etc, go through the assemblies. These assemblies wield a lot of power as policy proposals submitted by the executive are subjected to substantial amendments in the assembly. The national assembly performs oversight function of largely done through select committee, which has the power servant’s

ministers of their ministries. The public accounts committee in the national assembly monitors public expenditures of various ministries and agencies.

### **3.3 EXPERTS/TECHNOCRATS IN ADMINISTRATIVE AGENCIES**

Top Administrators play major role in policy implementation. Policy is laid down by the legislature or the political authorities, who are vested with the power of giving policy the legal authority. The legislature lays down a policy in general terms which is usually expressed in the form of acts and laws. In order to give more precise expression to these acts and laws, the administrative arm of the government plays an important role in policy-making also. But, in the main, the administrative arm does not legally possess the power of making a policy; it assists in policy making. Its responsibility lies in the sphere of policy implementation.

In summary, experts and technocrats in administrative agencies play roles in policy formation process. They supply information and help to articulate (at booth the macro and micro levels, on the hand, and at the objective and subjective levels, on the other) the broad objectives that guide policy directions as a totality of management. The advice of experts can also lead to the initiation of policies by decision-makers or politicians, apart from the vision of the government itself in addition, experts assist with the scientific management of the policy process through policy formulation and analysis.

### **3.4 LAW COURTS**

In countries where the courts have the power of judicial review like Nigeria and United States of America, courts play an important role in policy formation. The courts have often greatly affected the nature and content of public policy through exercise of the powers of judicial review and statutory interpretation in cases brought before them. In any political system, the courts or judiciary participate in policy-making process indirectly. Courts are approached to interpret and decide the meaning of legislative provisions that often generally stated and permit conflicting interpretations. Any judge confronted with a choice between two or more interpretations and applications of a legislative act, executive order or constitutional provision must choose from among them because the decision has to be given or the

controversy must be ended. And when the judge does so, his or her interpretation becomes policy for the specific litigants. When a court accepts one interpretation or a decision is accepted by other courts, the court has made a policy for all jurisdiction in which that view prevail.

### **3.5 UNOFFICIAL PARTICIPANTS**

Beside the official Actors in public policy making, many others participate in the public policy process. These units influence policy formation without possessing legal authority to make binding policy decisions. These unofficial Actors include:

#### **3.5.1 POLITICAL PARTIES**

In modern societies generally, political parties perform the function of “interest aggregation”, that is, they seek to convert the particular demands of interest groups into general policy alternatives. The way in which the parties “aggregate” interests is affected by the number of desire of the parties to gain widespread electoral support will force both the parties to include in their policy proposals popular demands and avoid alienating the most important social groups.

#### **3.5.2 INTEREST GROUPS**

While the executive (cabinet ministries, agencies/parastatals) plays the central role in policy-making, the need for consensus building in the process dictates that various interest groups be carried along these groups contribute inputs in various ways into the policy-making process and use covert and overt pressures to influence directly or indirectly the policies of government at any particular point in time. Through various channels, they contribute inputs into the debates and discussions that go on before a particular issue is crystallized as policy decision of government. For example, deregulation of petroleum product policies. Various interest groups, such as labour various, media, private sectors/ professional bodies, non-governmental organizational and civil society organizations were given the opportunity to contribute towards shaping the desired policy.

#### **3.5.3 INDIVIDUAL CITIZENS**

Since democratic governments are representative governments, it is often said that citizens are, therefore, indirectly represented in all policy making. In an abstract sense, this is true, but concretely, this aphorism means very little. Citizens’

participation in policy making, even in democratic countries, is very negligible. Many people do not exercise their franchise or engage in party politics. They neither join pressure groups nor display any active interest in public affairs. Even, while voting, voters are influenced comparatively little by policy considerations. However, despite such political attitudes of great majority of citizens, some still participate directly in decision making through demands to government.

#### **3.5.4 INFLUENCE OF MEDIA**

A prerequisite of democracy is free media of communication. The media channel information between the citizen and government. They communicate the information to the citizens about the decisions the governments have taken. In this way, the media help shape their reactions to each other's decisions. By publicizing specific causes, the media act as the most important source of information for the government on the public's reactions to contemporary issues. However, if the citizen is to make rational decisions about public policy, the media should be of a high standard of reliability. They should be seen as biased against government of the day, but offer constructive criticisms when necessary. The media can influence public opinions especially where the government is responsive and responsible to the public. It is only then they can be influential in determining policy.

#### **SELF-ASSESSMENT EXERCISE**

Describe the role of Experts in Administrative Agencies in public policy formation and formulation

#### **4.0 CONCLUSION**

In this unit, we have been able to examine the official and unofficial Actors in public policy making process. The official Actors include executive, legislature, and judiciary as well as administrative agencies. These institutions play direct role in public policy formation and formulation. Unofficial Actors play indirect role through their articulation of inputs or demands to government system.

#### **5.0 SUMMARY**

To sum up, in modern democratic political system, public policy making process is an important instrument of governance. Many participants both official and unofficial may be involved and many factors may affect their outcomes. The official Actors

have legal authority and play direct role in public policy formation and formulation. On the other hands, unofficial Actors play indirect role in articulation of policy demands and have no legal authority on policy decisions. While analyzing the policy process, therefore, all these relevant factors should be taken into account, so that all possible variables are open to enquiry.

#### **6.0 TUTOR-MARKED ASSIGNMENTS(TMAs)**

- (a) Describe the role of the judiciary in public policy formation
- (b) Explain how interest groups contribute to policy formation of public policy

#### **7.0 REFERENCES/FURTHER READING**

Anderson, J.E (2003). *Public Policy-making, 5<sup>th</sup> edition*. New York: Houghton Mifflin Company.

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## **UNIT 3: THE MODELS OF POLICY-MAKING**

### **CONTENTS**

1.0 Introduction

2.0 Objectives

3.0 Main Contents

3.1 Rational Comprehensive Model

3.2 Simon's Satisficing model

3.3 Option-Goal model

3.4 Incremental model

3.5 Mix-scanning model

3.6 Political model

4.0 Conclusion

5.0 Summary

6.0 Tutor-Marked Assignment

7.0 References/Further Reading

### **1.0 INTRODUCTION**

Decision-making represents an aspect of policy science, which like its parent discipline is dynamic in nature. This means that decision making approaches differ from individual policy-maker to another, issue to issue and political system to political system. The process of decision-making has attracted a number of models which inform the various ways in which decisions are made. In this unit, we shall discuss some of these decision-making models.

### **2.0 OBJECTIVES**

At the end of the unit, students would be able to:

- Understand rational comprehensive model of decision-making
- Explain the Social model of decision –making
- Describe the incremental model of decision-making
- Explain the mix-scanning model of decision-making and
- Describe the political model of decision-making

### **3.0 MAIN CONTENT**

#### **SIMON'S SATISFICING DECISION-MAKING MODEL**

Reacting to rational comprehensive model's argument, Simon (1957) proposed what he called "administrative man". He felt that management decision-making behaviour could best be described as follows:-

1. In choosing between alternatives, managers attempt to satisfice to look for the one which is satisfactory or good enough". Examples of satisficing criteria would be share of the market, adequate profit and fair price.
2. They recognize that the world they perceive is a drastically simplified model of the real world. They are content with this simplification because they believe the real world is mostly empty anyway.
3. Because they "satisfice" rather than maximize, they can make their choices without first determining all possible behaviour alternatives – without ascertaining that there are in fact all the alternatives.

Simon's administrative man tries to be rational and maximizing but he ends up satisficing because he does not have the ability to maximize. In other words the administrative man (decision-maker) satisfices by searching until he/she finds an option which appears to be satisfactory and adopts it even though it may be less than perfect. This approach, Simon characterized as "bounded rationality". Obviously, Simon's central concern was to provide explanation of how decision-makers make decisions.

However, this model has been criticized by scholars for focusing almost exclusively on decisions considered satisfactory to the top management and no concern for staff with the organization and role of lobbyists. Nonetheless, Simon's descriptive explanation is rated very highly by both practitioners and students of management. Both the prescriptive and research values of the model are rated as generally high. Dror (1968) dissociated himself from Simon's position. His own approach was very

ambitions, drawing on philosophy as well as social science and even allowing some scope of extra-rational elements (such as intuition).

Dror (1968) approached the process of decision-making from the “option goal. By this, he meant that in the search for alternative options to any given policy issue, one should endeavour to consider many additional but satisfactory alternatives as long as the “marginal benefits of doing so are higher than the marginal (opportunity) cost”. The problem with this model is that of measurement. How does one measure the “marginal benefits” and the “marginal costs” in the field of social science that does not readily lend itself to scientific empiricism as does the field of natural science? However, Simon (1976) believes that Dror’s model can be done. Nonetheless, in terms of being assessed on its description, prescriptive and research value, this model of rationality in decision making is scored very low.

### **3.1 RATIONAL COMPREHENSIVE MODEL**

The rational comprehensive model has the following elements:

- (i) The decision-maker is confronted with a given problem that can be separated from other problems or at least considered meaningfully in comparison with them.
- (ii) The goals, values or objectives that guide the decision-maker are classified and ranked according to their importance
- (iii) The various alternatives for dealing with the problems are examined
- (iv) The consequence (Cost and benefits) that would follow from the selection of each alternative are investigated
- (v) Each alternative and its attendant consequences can be compared with the other alternatives
- (vi) The decision-maker will choose that alternative and its consequences that maximize the attainment of his goals, values and objectives.

However, these assumptions are difficult to attain in real world. There are many barriers associated with rationality. In rational comprehensive model, all information required for alternative decisions are not available. All alternatives cannot be possibly obtained and consequences predicted. Besides, most societal values do not reach the decision agenda because of powerful elites and interest

groups. Hence, the model is criticized by scholars as being too idealistic and narrow because it neglects some political variables of decision making.

### **3.2 SIMON'S SATISFICING DECISION-MAKING MODEL**

Reacting to rational comprehensive model's argument, Simon (1957) proposed what he called "administrative man". He felt that management decision-making behaviour could best be described as follows:-

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2. They recognize that the world they perceive is a drastically simplified model of the real world. They are content with this simplification because they believe the real world is mostly empty anyway.
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However, this model has been criticized by scholars for focusing almost exclusively on decisions considered satisfactory to the top management and no concern for staff with the organization and role of lobbyists. Nonetheless, Simon's descriptive explanation is rated very highly by both practitioners and students of management. Both the prescriptive and research values of the model are rated as generally high.

### **3.3. OPTION-GOAL MODEL**

Dror (1968) dissociated himself from Simon's position. His own approach was very ambitious, drawing on philosophy as well as social science and even allowing some scope of extra-rational elements (such as intuition). Dror (1968) approached the

process of decision –making from the “option-goal” version. By this, he meant that in the search for alternative options to any given policy issue, one should endeavour to consider many additional but satisfactory alternatives as long as the “marginal benefits of doing so are higher than the marginal (opportunity) cost”. The problem with this model is that of measurement. How does one measure the “marginal benefits” and the “marginal costs” in the field of social science that does not readily lend itself to scientific empiricism as does the field of natural science? However, Simon (1976) believes that Dror’s model can be done. Nonetheless, in terms of being assessed on its description, prescriptive and research value, this model of rationality in decision making is scored very low.

### **3.4 INCREMENTAL MODEL OF DECISION-MAKING**

Braybrooke and Lindblom (1963) attempted to discredit rational model of decision-making before formulating their preferred alternative. They point out that it was not easy to distinguish between ends and means. They suggest that the rational comprehensive model of decision-making did not accord with facts. They argue that in the real world, the rational model or even “bounded rationality” cannot apply. According to them, decision-makers do not in practice evaluate all the possible options open to them in a given situation, but choose between relatively few alternatives.

Moreover, strategic decision-making tends to involve small-scale extensions of past policies (incrementalism), rather than radical search. Decision-making does not normally involve a detached planner or manager impartially sifting options to find the best solution. In practice it necessitates seeking accommodation or compromises with interest groups a process, they describe as “partisan mutual adjustment”. Such decision was seen as the outcome of political bargaining. They argue that strategic decision-making often does not proceed according to any coherent plan, but rather proceeds disjointedly (disjointed incrementalism). Braybrooke and Lindblom thought this incremental model has to be preferred to the rational comprehensive model of Simon and Dror.

#### **3.4.1 ELEMENTS OF INCREMENTAL MODEL**

Incremental model of decision-making has the following elements:

- (i) The selection of goals or objectives and the empirical analysis of the action needed to attain them are closely intertwined with rather than distinct from one another.
- (ii) The decision-maker considers only some of the alternatives for dealing with a problem and these will differ only incrementally from existing policies
- (iii) For each alternative, only a limited number of important consequences are evaluated
- (iv) The problem confronting the decision-maker is continually redefined. Incrementalism allows for countless ends-means and means-ends adjustments that have the effect of making problem more manageable.
- (v) There is no single or right solution to a problem. The test of a good decision is that various analysts find themselves directly agreeing on it, without agreeing that the decision is the most appropriate means to an agreed objective
- (vi) Incremental decision-making is essentially remedial and is geared more to the present, concrete social imperfections than to the promotion of future social goals.

This model of decision-making attracted so many practitioners involved in decision-making, as it tends to suggest that what they were actually doing in their organizations (muddling through) was right all the time. It also became attractive to political scientists because the model involved political process and politics were treated as natural and not as regrettable interference with rational decision-making. However, critics of incrementalism argue that the model is not a good prescriptive model that decision makers should aspire to do better. It cannot explain or account for spontaneous or sudden changes that take place in the environment, especially, in the long-term strategic planning or where technological changes are taking place that require radical decision. Thirdly, incrementalism does not seem to high-high the role of corporate culture (strategy as perspective) perhaps on decision-making, as it filters out unacceptable choices.

Fourthly, the anti-rational position of incrementalism leaves no room for the development and application of rational analysis, especially with contributions from modern analytical tools and techniques, for example, linear programming probability decision trees, forecasting, simulation etc.

Finally, even as a descriptive model of the public sector, it does not always fit some changes so not all incremental, but involve dramatic shifts, such as, the re-organization of National education Policy in Nigeria Universal Basic Education Scheme (6-3-3-4). However, in his later work Lindblom (1968) countered this criticism and asserted that incrementalism was possible to achieve a radical shift as “one person’s incremental decision could be another man’s radical change”. He conceded the argument for forward planning and application of rational analysis using analytical techniques.

### **3.5 MIXED-SCANNING MODEL OF DECISION-MAKING**

Etzioni (1967) attempts to avoid the unreality of the rational approach and in-built conservative bias of incrementalism and devised mixed-scanning model seeks to provide an answer to weakness of incrementalism - its inability to explain radical social innovation or fundamental decision, such as “declaration of war”. This model accommodates the differing capacities of decision –makers, some of which could be incremental, while others are rationalistic. However, there is a flaw in this model. The basis for compromise implied in the mixed scanning strategy is difficult to determine. It is also not clear how practitioners are supposed to apply the mixed scanning model. In this entire model is scored below average in descriptive, prescriptive and research value.

### **3.6 POLITICAL MODEL OF DECISION MAKING**

The bureaucratic model employs a compromise or bargaining decision-making strategy and aims towards an outcome that is acceptable to many external constituencies. The model tends to disregard qualitative and quantitative inputs are emphasized incremental decisions are made through a continuous series of adjustments as the view of partisans become known. The decision-maker merely adjusts to the needs as they are expressed and perceived to be “significant” when partisans make their wishes clear and unequivocal decision-maker attempts to

incorporate them into the final decision. The political model is regarded as the primary paradigm of decision making in formal organizations of all types, although it seems most applicable to highly bureaucratized institutions in the public sector the primary requirements of the political model are as follows.

- Rather than attempting a comprehensive survey and evaluation of all alternatives, managerial decision-makers focus only on those policies that differ from existing policies.
- Only a relatively small number of alternatives are considered
- For each alternative, only a restricted number of important consequences are evaluated
- The problem confronting the managerial decision-makers is continually redefined. Incremental approach is used - means adjustments that in effect make the decision more manageable.
- There is no one decision or right choice but a never-ending series of attacks on the decision at hand through individual analysis and evaluation of each aspect of the decision.
- As such, the political model with its emphasis on incremental decision, is generally more toward alleviating current problems than toward the development and decision implementation of choices promising long-range benefits. For political model, the behavioural aspect of decision – making are predominant. As such, the political model is used on formal organizations that depend on external constituencies. Examples are government Agencies and other types of public service institutions. Political model is scored high in terms of its descriptive, prescriptive and research value.

#### **SELF-ASSESSMENT EXERCISE**

Describe the rational comprehensive model of decision-making

#### **4.0 CONCLUSION**

In this unit, we have been able to discuss various models of decision-making.

All the models help to describe and prescribe decision-making. The major model is rational comprehensive model decision-making. All others are reactive to it. They tend to reflect and describe decision making in the real world situations than the rational model. However, it makes a decision-maker want to act rationally in decision-making or get net benefit of policies.

## **5.0 SUMMARY**

All the models attempt to describe and prescribe decision-making as a process. The rational model focuses on the means to attaining rational decision making. Other models: Satisficing, option-goal, incremental, mix-scanning and political are reactive to rational comprehensive model of decision making. All emphasize the pure impossibilities of pure economic rationality and posit that the setting of goals, means and the policy choice is a product of bargaining and consensus between decision actors. They tend to describe decision-making to reflect real world situation..

## **6.0 TUTOR-MARKED ASSIGNMENTS (TMAs)**

- (a) Describe incremental model of decision making?
- (b) Explain the criticisms leveled against rational decision making?

## **7.0 REFERENCES/FURTHER READING**

- Eneanya, A.N. (2010). *Policy Research, Analysis and Effective Public Policy-Making in Nigeria*. Lagos: Concept Publications Ltd.
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## **UNIT 3: TOOLS OF POLICY-MAKING ANALYSIS**

### **CONTENTS**

- 1.0 Introduction
- 2.0 Objectives
- 3.0 Main Contents
  - 3.1 Use of Models
  - 3.2 Scenario Construction
  - 3.3 System Analysis
  - 3.4 Decision Tree
  - 3.5 Path Analysis
  - 3.6 Forecasting
  - 3.7 Cost Benefit Analysis
  - 3.8 Cost Effectiveness Analysis
  - 3.9 Management By Objective
- 4.0 Conclusion
- 5.0 Summary
- 6.0 Tutor-Marked Assignment
- 7.0 References/Further Reading

### **1.0 INTRODUCTION**

Policy analysis involves the use of different types of modern management decision techniques and strategies, depending upon the nature of the decisions to be taken. These techniques are largely different aspects and applications of system analysis and include operations research, system engineering and network analysis tools embracing programme evaluation and review techniques (PERT) and Critical Path Method (CPM), scheduling, planning and programme budgeting system (PPES), cost-benefit analysis and statistical methods. Others are scenario construction and paradigms, organization analysis, management-by-objectives, etc. Most of these techniques have been developed or given greater attention and aimed at clarifying the task of policy analysts, policy planners and policy-makers. Almost all of these techniques are based on scientific methods for solving problems and will lead to rational decision-making.

In this unit, we shall examine various analytical tools and techniques used for policy analysis.

## **2.0 OBJECTIVES**

At the end of unit, students would be able to:

- Understand general operational research tools for policy analysis
- Describe tools and techniques of policy analysis

## **3.0 MAIN CONTENTS**

### **3.1 USE OF MODELS**

Models can be constructed and used to compare performance of options and to discover the relative effectiveness of them. A model is an abstract representation of the real world. The process of applying the management decision techniques, different models in the form of mathematical equations, computer programmes, management games, scenario, organizational charts, maps, charters, rules and regulations, standard procedures, budget documents, etc, are used. These facilitate experimentation which is a crucial step in the process of policy analysis. Policy analysis models could be viewed as a continuum reflecting different degrees of their physical or symbolic characteristics as well as the types of techniques suited to the various levels of qualification or use of judgment. Five steps of models (quantitative, qualitative and judgmental (models) can be identified:

- (a) Analytical models- take the form of sets of mathematical equations which are susceptible to mechanical solution;
- (b) Computer models- are more suited to decision problems in which the relevant variables are too numerous and the inter-relationship too complex to be handled analytically by conventional methods.
- (c) People and computer models- involve a mix of people and all computer models in the overall structure of the situation being studied
- (d) Verbal models – are those models which have no quantitative content. Basically, they involve determining what factors in a given situation are relevant, measuring the relativities among those factors and tracing out their interactions and implications.

### **3.2 SCENARIO CONSTRUCTION**

Is a description of the conditions and events under which a system is being studied is assumed to be existing. Most scenarios are future-oriented, although they may be reconstructions of the past or synoptic descriptions of the present. Scenarios are particularly suited to dealing with conditions and events taken together and to integrating several aspects of a situation more or less simultaneously. Scenarios are often used in the field of foreign policy analysis.

### **3.3 SYSTEM ANALYSIS**

System analysis is a systematic approach to helping a decision-maker chose a course of action by investigating the problem; searching out objectives and alternatives; and comparing them in the light of their consequences, using an appropriate framework-insofar as it is possible/analytic – to bring expert judgment and intuition to bear on the problem. Since, system analysis generates and presents information in such a way as to improve the basis for decision-makers to improve the basis for decision-makers to exercise judgment, which has the same purpose as policy analysis. System analysis as a key technique in the process of decision-making has recently been receiving considerable attention; a few comments on its limitations would, therefore, be in order.

In spite of its acclaimed usefulness as a tool in the processes of decision-making, system analysis is in general, ineffective where the problems to be solved are behavior-oriented and therefore, do not lend themselves to quantitative measurement. Secondly, its successful application has been impeded by the lack of the necessary skills. Thirdly, the attitudes and perceptions of professional systems analysts have in many cases proved to be at variance with needs to be met. More specific weaknesses and difficulties associated with the application of systems analysis as a tool of policy analysis in developing countries could be categorized as follows:

- Imprecise formulation and frequent and radical changes in the definition of national goals; this undermines the stability of policies;
- The dearth of reliable data; and

- Alien foundation and orientation of the policy-making processes, stemming in most cases from the influences of colonial administration of pre-independence days.

### **3.4 DECISION TREE**

Decision tree is a decision making tool that presents graphically or diagrammatically, the sequence in the decision process, to enable easier understanding, management and choice in decision- making. It is a diagrammatic model and a conceptual frame, which denotes precisely the flow or sequence, the structure, stages, tasks, activities and consequences in the decision making process. It, thus, enables a summary of essential information on a flow chart, relating to a particular decision problem. It presents the decision-maker with the sequence, the choices available, the uncertainties and calculations of probabilities and outcomes.

The calculated pay off and the per cent chances of probabilities and outcomes. The calculated pay-off and the percent chances of probabilities, form the basis of decisions. The decision tree does not postulate techniques or methods of analysis. Rather, any technique or analytical tool could be used in the valuation of uncertainties, probabilities and outcome or pay-off. Cost-benefit analysis for example may be useful in calculating pay-offs. Thus, a decision tree is just a flow chart or diagram. This seeming inadequacy enables wider applicability of the model.

### **3.5 PATH ANALYSIS**

Path analysis is one of the methods of clarifying casual thinking about the causes and consequences of public policy. Path analysis enables us to portray our ideas about the causes or consequences of public policy in diagrammatic fashion. Path analysis provides an overall estimate of the explanatory value of a model. It also assists in identifying spurious relationships. More importantly, it permits the testing of both direct and indirect casual paths in the determination of a dependent variable. We can ascertain whether a determining variable acts on a dependent variable directly or through mediating variables or both and we can compare the relative influence of direct and indirect casual paths.

### **3.6 FORECASTING**

The policy analysis approach to forecasting requires knowledge of what techniques are available and of their limitations in theory and practice, but is not obsessed with methodology or numbers as such. Forecasts cannot predict the future but they can assist decision-makers to cope with uncertainty and change and to explore the implications of policy options. The policy options approach to forecasting also recognizes the crucial importance of how forecasts are consumed by decision-makers rather than simply with how forecasts are carried out by experts. Forecasting can be costly and a balance has to be struck between possible benefits from forecasting and the costs of carrying out forecasts and consuming them.

### **3.7 COST-BENEFIT ANALYSIS**

One possibility for guiding choice between programmes designed to accomplish widely differing tasks would be to measure the benefits and costs in the same units in all programmes, so that the difference between the benefits and costs could be calculated for each programme and compared with the corresponding difference for other possible actions. In practice, this means expressing both the benefits and the costs in monetary units, naira for example. This process is often done arbitrarily and this leads to the neglect of certain benefits and certain costs. This technique is discussed more exhaustively in the last unit of this module.

### **3.8 COST-EFFECTIVENESS**

It is a form of systems analysis in which the alternative actions or systems under consideration are compared in terms of two of the consequences: naira or resource costs and the effectiveness associated with each alternative. The effectiveness of an alternative is measured by the extent to which that alternative if implemented will attain the desired objective. The preferred alternative is usually taken to be either the one that produces the maximum effectiveness for a given level of cost or the minimum cost for a fixed level of effectiveness. Cost-effectiveness has been exhaustively discussed in the last unit of the module.

### **3.10 MANAGEMENT BY OBJECTIVES (MBO)**

It is management techniques that emphasizes establishing, clarifying and operationalizing objectives, such that different sets of activities operations and personnel within the organization or programme could be directed and managed in accordance to defined objectives and achieve such objectives. The belief is that the clarification of purposes and planned organization to achieve them is considerably important to efficient and rational management and effectiveness. MBO is not just a technique but a philosophy or belief in subordinate-manager participation in goals setting and management and cooperation in the joint act of achieving effectiveness.

#### **SELF-ASSESSMENT EXERCISE**

Explain what you understand as system analysis to policy analysis

### **3.0 CONCLUSION**

In this unit, we have been able to examine various tools and techniques of decision-making. Some of these techniques include: system analysis, cost-benefit analysis, cost of effectiveness analysis, path analysis, scenario construction, models and so on. These tools are adopted to analyze and rationalize choices in policy making.

### **5.0 SUMMARY**

Over the years, attempts have been made by government to improve the contents of government decision making process. There are several tools and techniques which are used in the planning, analysis, evaluation and management of government policies and programmes. These tools include; system analysis, models, scenario construction, cost-benefit analysis, cost-effectiveness analysis, forecasting, path analysis and management by objectives. These tools are adopted to analyze and rationalize choices in policy making.

### **6.0 TUTOR-MARKED ASSIGNMENTS(TMAs)**

1. Critically assess path analysis in policy analysis
2. Describe how cost benefit analysis tool can be used to analyze policy

## **7.0 REFERENCES/FURTHER READING**

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## **UNIT 4: PHASES OF POLICY ANALYSIS**

### **CONTENTS**

- 1.0 Introduction
- 2.0 Objectives
- 3.0 Main Contents
  - 3.1 Perception phase
  - 3.2 Design phase
  - 3.3 Evaluation phase
  - 3.4 Choice phase
- 4.0 Conclusion
- 5.0 Summary
- 6.0 Tutor-Marked Assignment
- 7.0 References/ Further Reading

### **1.0 INTRODUCTION**

Public policy analysis is the study of the causes, processes, formation, implementation and consequences of public policy. It is concerned with the description and explanation of particular policy choices and content, the determination of strategies or techniques for optimal policy making. In this unit, we shall examine phases of policy analysis.

### **2.0 OBJECTIVES**

At the end of the unit, students would be able to:

- Describe different phases of public policy
- Understand that policy analysis requires interaction between the policy makers and analyst.

### **3.0 MAIN CONTENT**

Regardless of the nature, type and level of policy to be analyzed, three inter-related steps are required, namely:

#### **3.1 PERCEPTION PHASE**

This phase requires much interaction between policy-makers and specialist policy analysts. For an analytic approach, the first step is to identify whether and why there is a probe, at all. Defining the problem involves moving from mundane descriptions

to a more abstract, conceptual plane. Here, an attempt should be made to diagnose the form of market failure that is confronted. However, there is a general tendency for policy analysis to accept statements on problems made by politicians without much scrutiny to ascertain the soundness or correctness of those statements or how they could influence the policies that emerge from them. Another difficulty experienced in this phase of policy analysis stems from the ideological, professional and communication differences between politicians as policy-makers and administrators and technocrats as executors of policies.

### **3.2 DESIGN PHASE**

This is basically concerned with finding alternative solutions to problems and determining the criteria for comparing one against the other. Too often we lose sight of the rational objectives. Paying careful attention to the objectives is very important. Design is the process of discovering new elements and building on known or existing elements in such a way as to produce a desired whole. It also means constructing different alternatives to solving a particular problem given that possible number of alternatives in any given situation is virtually unlimited. While it is technically possible in many cases to consider all possible alternatives and their impact, the time, cost and relevance of doing so is often prohibitive. Policy analysis and decision-makers invariably find a way of judging which alternatives seem more relevant than the others. Real world constraints also limit the number of feasible alternatives to a few choices. The danger, however, is that some important alternatives may be overlooked.

### **3.3 EVALUATION PHASE**

Having identified the underlying problem and having determined the alternatives for policy choice, what are the consequences of each of the alternatives? For this, the policy analysts will turn to a relevant model for forecasting consequences. It is important to determine which kind of government intervention is most positive in any particular situation. This is an intellectual process which involves predicting the consequences of selecting each of the various alternatives and deciding which of them to select. It may simply require the judgment of an individual expert or it may involve using a quantitative model, such as: an elaborate computer programme that combines

in a single computation various sub-models for determining the financial cost, environmental forecasts and goal achievements. It may also involve a variety of processes including quantitative and qualitative methods and gaming exercises. What is common to all evaluations is that they are done with the aid of some kind of model which is used in an experimental fashion to try out the various alternatives. It is necessary to predict all the effects of the proposed policies, not just the economic effects desired by the decision-maker.

If the consequences of an alternative course of action are uncertain and especially if the possible outcomes differ widely from one another, the analyst may wish to develop a decision tree and evaluate the probability of each outcome. Evaluation of the outcomes is of great importance as it reminds us to look carefully at the cost-benefit analysis of a particular policy choice. Too often, policy choices are sabotaged by bureaucrats and interested politicians. The analysts should seek the counsel of experts in the field.

### **3.4 MAKING A CHOICE PHASE**

The last step in policy analysis relates to making the preferred choice (course of action). The situation may be so simple for the policy maker that he can simply look at the consequences predicted for each alternative and select the one that is best. In contrast, it may be so complex that he will have to think of his preferences among the various possible outcomes, that is, how the world will behave in response to the possible choices. However, it should be noted that the choice among competing policy alternatives is complex, for the future is always uncertain. But, by enhancing our capability to forecast the consequences of the alternative courses of action and providing a framework for valuing those consequences, the techniques of policy analysis lead us to better decisions.

#### **SELF-ASSESSMENT EXERCISE**

Describe the policy analysis design

#### **4.0 CONCLUSION**

Public policy relates to the making of decisions. Analysis in the decision process can start at any point. However, it has to be initiated by someone with the perception of disparities in the existing scheme of things and opportunities for dealing with them. Perception in this context comprehends, first, the identification and classification of objective. Second is the identification and delineation of problems. The process of identification of problems involves an attempt to isolate questions or issues and to place them in the right context and perspectives. Similarly, the process of identification and clarification of objectives comprehends specification of general goals which in turn are externalizations of internal values and preferences. It is more crucial to formulate the right objectives than to make the right choice among different alternatives. The choice of a wrong alternative may merely mean that something less than the best system is being applied. The choice of a wrong objective on the other hand, means that the wrong problem is being solved.

#### **5.0 SUMMARY**

In the policy decision-making process, it is the aim of policy analysts to generate and present information in such a way as to improve the basis for policy-makers to exercise their judgments. In this regard, it is the responsibility of policy analyst to:

- (i) Investigate the objectives that the decision-maker seeks to accomplish.

For an analysis to be commissioned or contemplated, someone must have a problem, that is, be dissatisfied with some aspects of the state of affairs and want to make a decision to alter it without being clear as to how to do this. He will have his own ideas as to what should be done. At the start, however, his objectives may not be very well-thought out and may be so vague as to be impractical. Also, he may not be aware of some of their implications which may include things he ordinarily would not want done. These implications should be investigated and operational goals determined and communicated clearly by the analyst.

- (ii) Perform analysis using vast array of techniques;
- (iii) Develop alternative ways of achieving the objectives with emphasis being on the design and invention of new possibilities;

- iv) Compare the alternatives in terms of their impacts and pay-offs. The analysis should consider the political and organizational problems associated with acceptance and implementation;
- v) Investigate the dimensions of the policy;
- vi) Submit and justify recommendations and
- vii) Prepare policy statements.

Thus, policy analysis involves three major phases- perception, design and evaluation. These phases help to generate and present information in such a way as to improve the basis for policy makers to exercise their decisions.

#### **6.0 TUTOR-MARKED ASSIGNMENTS (TMAs)**

1. Describe the perception phase of public policy analysis
2. Explain the design phase of public policy analysis

#### **7.0 REFERENCES/FURTHER READING**

Eneanya, A.N. (2010). *Policy Research, Analysis and Effective Public Policy-Making in Nigeria*. Lagos: Concept Publications Ltd.

Ikelegbe, A.O. (1994). *Public Policy-making and Analysis*. Benin-City: Uri Publishing Ltd.

## **MODULE IV: PLANNING AND PUBLIC POLICY ANALYSIS**

### **CONTENTS**

#### **UNIT 1: CONCEPTS AND STRATEGIES OF PLANNING**

#### **UNIT 2: PLANNING IN THE THIRD WORLD**

#### **UNIT 3: PLANNING, PROGRAMMING AND BUDGETING SYSTEM**

#### **UNIT 4: NETWORKING IN POLICY ANALYSIS**

### **UNIT 1: CONCEPTS AND STRATEGIES OF PLANNING**

#### **CONTENTS**

- 1.0 Introduction
- 2.0 Objectives
- 3.0 Main Contents
  - 3.1 Meaning of Planning
  - 3.2 Characteristics of planning
  - 3.3 Planning process and strategies
  - 3.4 Relationship between planning and policy analysis
- 4.0 Conclusion
- 5.0 Summary
- 6.0 Tutor-Marked Assignment
- 7.0 References/Further Reading

#### **1.0 INTRODUCTION**

Organisations need to know how many people and what sort of people they should have to meet present and future business requirements. This is the function of Administrators or workforce planning unit as sometimes referred to in the public sector. In this unit, we shall examine the concept and strategies of planning. In this unit, we shall examine concepts and strategies of planning.

#### **2.0 OBJECTIVES**

At the end of the unit, students would be able to:

- Describe the concept of planning
- Know the processes and strategies of planning

- Understand the relationships between planning and public policy analysis

### **3.0 MAIN CONTENTS**

#### **3.1 MEANING OF PLANNING**

Planning is preparation for action. It is an inherent part of individual and of co-operative or collective endeavour. In the word of Dimock et al, (1983:89), planning is “the use of rational design as contrasted with change, the reaching of a decision before a line of action is taken instead of improving after the action has started”. It is the process of devising a basis for a course of future action. Chandler and Plano (1988: 92) explained planning from political point of view, thus:

Conceiving meaningful goals and developing alternative choices for future action to achieve these goals. It involves a systematic procedure for the reduction of many alternatives to an approved course of action. It determines not only goals but the sequential order in which they are pursued, the need for coordination and the standards for maintaining control.

From these definitions, these scholars regard planning as a technique which anticipates policy decisions. Planning in the context of administration begins where general policy stops. It is the means by which ends can be brought to fruition (White, 1955). In other words, in public sector, government lays down the general policy, the Administrative planning unit gives it practical shape to that policy in the form of development plan for period of years envisioned. For our purpose, planning involves some strategies. It specifies a definite goal and prescribes the method and the mechanism by which concrete results may be achieved.

#### **3.2 CHARACTERISTICS OF PLANNING**

The following are the characteristics of planning (Bhagwan and Bhushan, 2006: 244):

- (i) Planning is closely associated with the goals of the organization. These goals might be implicit or explicit. However, well-defined goals lead to efficient planning;
- (ii) Planning is primarily concerned with looking into the future. It requires forecasting of future situation in which organization has to function;
- (iii) Planning involves selection of the best alternative to achieve the objectives of the organization;

- (iv) Planning is comprehensive and includes every course of action in the organization;
- (v) Planning is an inter-dependent and integrative process. It coordinates the activities of various departments, sections and sub-sections;
- (vi) Planning is flexible as it is concerned with future conditions which are dynamic;
- (vii) Planning is a continuous affair. It needs constant review and re-adjustment in the light of achieved targets and future possibilities;
- (viii) Planning as a process of formulation and evaluation is primarily a staff function.

### **3.3 ADMINISTRATIVE PLANNING MACHINERY AND STRUCTURE**

It is significant to note that the structural aspects of the organizational set-up for planning machinery changes from the traditional organizational structure. It may involve re-drawing of hierarchical arrangements, increasing in programme and field units, shifting lines of reporting and communication, developing control mechanisms and improving methods of administration. For example, development planning in Nigeria is characterized by consultation with various federal ministries/agencies responsible for economic planning, National Planning Commission, National Economic Advisory Council, State government Ministries of Economic Planning, organized private sector and enterprises. People are involved in every project and programme implementation.

### **3.4 PLANNING PROCESS AND STRATEGIES**

Planning is conscious and deliberate effort. It is rational and determined approach to the achievement of an object. It involves three major processes: Formulation of plan, execution and evaluation of plans. A brief description of these three steps is as follows (Bhagwan and Bhushan, 2006:245-6):

#### **i). FORMULATION OF THE PLAN**

This is the first and most important step of planning process. An ill-conceived plan based on unreliable data and impractical targets may not only mean wastage of precious human and financial resources but may also create popular dissatisfaction. Formulation in this context entails formulation of goals and objectives, which should

be clearly and unambiguously determined. This is followed by an assessment of the means or resources available to realize these goals, such as: money, men, material, equipment, ethical standards, political and administrative feasibility. The preparation of a work programme designed to achieve the determined objectives. The various available alternatives should be examined in the light of organizational objectives and planning premises and after objective evaluation of these alternatives the possible alternative should be selected.

#### **ii). EXECUTION OF PLAN**

The execution or implementation of the plan is as important step of the planning process as its formulation. A well conceived plan may be set at naught by poor implementation. Effective implementation of plan has been the weakest link in the chain of the entire planning process. To ensure effective implementation, the planning body should provide adequate manpower, and financial resources, arrange sufficient officials, build up the character and morale of the plan executors and stimulate public cooperation.

#### **iii). EVALUATION OF PLAN**

As planning is continuous process, it should be flexible enough to incorporate unexpected events and make necessary adjustment in the light of the plan appraisal. The appraisal of various plan projects particularly of a long duration plan is necessary to ensure its right direction. The uncertainty of the future necessitates continuous evaluation. The problems hindering the effective implementation can be drawn only through constant evaluation of the plan.

### **3.4 RELATIONSHIPS BETWEEN PLANNING AND POLICY ANALYSIS**

Planning and policy analysis have their areas of commonalities. These include (Olaniyi, 1998: 78):-

- (a) Problem identification or situation;
- (b) Collection of all the relevant facts;
- (c) Developing alternatives for future action to achieve these goals;
- (d) Sequential orders for achieving these goals; and
- (e) The need for coordination and control.

However, notwithstanding of their areas of commonalities, the importance of planning in policy-making is seen in the fact that, it serves as its precedent and before any meaningful success can be recorded, planning programme should involve social research findings.

### **SELF-ASSESSMENT EXERCISE**

Explain the term planning

### **4.0 CONCLUSION**

In this unit, we have been able to define the concept of planning, the characteristics, planning process and the relationships with policy analysis. Planning in its general sense is thinking for future actions. It entails, establishing goals before setting out, identification of evaluation criteria, alternative proposals, appraising the consequences of each alternative and selecting the best alternative to be used.

### **5.0 SUMMARY**

Planning represents a new interest among policy makers in analyzing policy. It helps policy analysts know what to plan for, how to plan it and how to carry out the plan. Planning is thinking before acting, establishing goals before setting out and appreciating the limitations. Apart from helping to generate ideas, it specifies a definite goal and prescribes the method and the mechanism by which concrete result may be achieved. However, it is the quality of planning that counts, rather than the extent and detail with which it is undertaken.

### **6.0 TUTOR-MARKED ASSIGNMENTS (TMAs)**

- (a) Discuss what you understand as planning
- (b) Explain the relationship between planning and policy analysis

## **7.0 REFERENCES/FURTHER READING**

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## **UNIT 2: PLANNING IN THE THIRD WORLD COUNTRIES**

### **CONTENTS**

- 1.0 Introduction
- 2.0 Objectives
- 3.0 Main Contents
  - 3.1 Meaning of Planning
  - 3.2 Pre-requirement for effective planning
  - 3.3 Problems of planning in the Third world
- 4.0 Conclusion
- 5.0 Summary
- 6.0 Tutor-Marked Assignment
- 7.0 References/Further Reading

### **1.0 INTRODUCTION**

Planning is a rational, dynamic and integrative process. It is of particular significance to an underdeveloped country where a lot has to be achieved with limited resources and within a time-frame work. In all developing or Third world countries, planning is perhaps the best way to pull up the economy to a self-sustaining and self-generating stage. In this unit, we shall look at the pre-requisites for effective planning in the Third world countries and its limitations.

### **2.0 OBJECTIVES**

At the end of the unit, students would be able to:

- Understand the pre-requisites for effective planning for socio-economic development; and
- Understand some of the limitations for effective planning

### **3.0 MAIN CONTENT**

#### **3.1 CONCEPTUALIZING PLANNING IN THE DEVELOPING COUNTRIES.**

Planning is the bedrock of any nation's development efforts. It is a rational process. It is the future action to be done by an organization or Agency, the methods to be employed for doing them in order to achieve specified goals. In Third world countries, planning is often accorded significant importance in nation's development efforts. It may be of varied duration, short-range or long-range. Short-range planning also

known as operational or tactical planning usually covers one year. They formulated to achieve some specific and limited organizational objectives. Long-range planning may vary from 5 years to 25 years. In the formulation of a long-range plan, the existing and long-term framework of economic, social and technological factors is taken into consideration. Sometimes, basic changes in organization structure are necessitated, preparations are made to create trained manpower and raise resources to meet the needs as they arise in future. Perspective planning, thus, helps in the formulation of present plans and in maintaining and continuing from one plan period to the other.

In-fact, in a successful planning process, short-term plans and long-term plans should be coordinated. Even under a long-term plan, short-plans should coordinate. Even under a long-term plan, short-term plans, (annual budget or plan) are prepared. The annual budget is a one-year plan of most countries. While preparing the annual budget, the long-term plans are considered. Many developing countries have planning Commissions or Boards as government machinery for planning. Nigeria, India, Ghana and other Third World countries fall into this category. However, these planning efforts have not witnessed significant success in most of these countries. To make planning effective in these countries, certain pre-requisites are required.

### **3.2 PRE-REQUIREMENTS FOR EFFECTIVE PLANNING**

#### **(1) SOUND ADMINISTRATIVE STRUCTURE**

The development of a country depends upon an efficient and adequate administrative infrastructure. Planning requires devoted personnel able to provide initiative and support. Beside, leadership commitment is essential for the success of effective planning. The planning process must be devoid of politics.

#### **(2) ADEQUATE INFORMATION SYSTEM**

The availability, accurate, reliable and up –to-date statistical data is an important pre-requisite for effective planning. Without reliable data about materials, capital, human and natural resources and accurate information about

the magnitude of the problems, fixing of targets becomes difficult. Any manipulation of data and information will only lead to faulty planning.

**(3) ESTABLISHING LIMITED OBJECTIVES AND CONCRETE TARGETS**

A plan must be very specific about its objectives and targets to be achieved within a time framework. The priorities should be clearly defined and targets should not be too ambitious. The objectives should be realistic, limited and feasible. Similarly, the targets fixed for various sectors should be concrete ones. If there are constraints of resources, targets should be accordingly lowered. All these should be related to the inputs in the economy

**(4) EFFICIENT ADMINISTRATIVE MACHINERY**

Effective planning presupposes the existence of efficient administrative machinery. Inefficient administrative machinery would make plan implementation very difficult. For effective planning, attention must be paid to adequate mobilization of financial resources, effective system of economic and administrative controls and proper communication of various planning elements. Needless to emphasize that a plan must be well formulated taking into account the environmental variables, such as: technological, social, cultural, political, legal and economic and it must be sincerely implemented under proper supervision and able guidance.

**(5) LEADERSHIP COMMITMENT**

Peoples' involvement in the planning process is very essential for effective planning. The leadership in government must be fully committed to the course. Where corruption is allowed to thrive, while the citizens are wallowing in poverty would not attract participation of the people. Asking half-starved people to tighten their belt when the belt of the politicians' are getting wider day-by-day is hardly going to convince them that their sacrifices will bear fruits. Instead of the plan being prepared at the top and forced to the lower levels, it should be prepared at the "grass-root" level and transmitted upwards for integration and adjustment.

**(6) HARMONIOUS INTERNATIONAL RELATIONS**

Many underdeveloped countries depend to a great extent on the developed countries for the flow of foreign capital, technical assistance and aid. To attract

such foreign direct investment, their investment returns must be guaranteed, political and economic systems devoid of instability and friendly international relations maintained with highly industrialized nations of the world. This would forestall sabotage and politics when assistance is desired in the implementation of the plan.

### **3.3 PROBLEMS OF PLANNING IN THE THIRD WORLD COUNTRIES**

Most Third world countries face many challenges in the course of planning. However, the effective these limitations may help in removing many obstacles in planning.

#### **(i) LACK OF ACCURATE DATA**

The basic limitation of planning in the Third world countries is lack of accurate information and facts relating to the future. Planning concerns future activity and its effectiveness is determined by the quality of forecast of future events. There is a dearth of reliable data for formulating accurate plan. As such, most of the targets and estimates are unrealistic and manipulative. Many times, the planners are not even aware of the socio-economic realities and if aware tend to ignore them to formulate ambitious plan.

#### **(ii) PROBLEMS OF CHANGE**

The rapidly changing environment in a developing economy often makes planning difficult. The problem of change is more complex in long-range planning. Present conditions tend to weigh heavily in planning and by overshadowing future needs may sometimes result in error of judgment. Such factors as: technology, economic conditions, social environment, people's tastes and desires, political climate and international events sometimes change rapidly and often unpredictably.

#### **(iii) LACK OF EXPERTS**

Economic planning desires technical know-how for its formulation and implementation to be effective. There is lack of skilled personnel with adequate experience and education to formulate national development plan. Most developing countries rely on technical assistance from foreign countries in order to implement development programmes. In some cases, there is lack of clear understanding of the

objectives, leading to planning with wrong priorities and subsequent failure of the programme or project.

**(iv) RIGIDITY IN PLAN IMPLEMENTATION**

In most developing countries, planners act in a set of given variables. These variables may be internal or external. Among the internal variables are related to organizational policies, rules, regulations, and procedures. The external variables are social, technological, legal, constitutional, geographical and economic. The planners have to formulate their plans keeping in view these variables, which limit their scope of action. This stifles employees' initiative and forces managers/executives into rigid mode of executing their work. This is part of the limiting factor in effective planning process.

**(v) TIME AND COST FACTORS**

Sometimes, planning suffers because of time and cost factors. Time is a limiting factor for plan makers. The nation, collecting data, discussing the draft at various level and giving it a final form is dysfunctional in the organization. When a plan or project is delayed, it becomes more costly as the plan may be reviewed and made more detailed. The costs incurred in the formulation of the plan can better be applied to the actual implementation of the previous project and schemes. Planning cannot afford to go beyond a certain time limit and it must justify its costs.

**4.0 CONCLUSION**

However, the above factors do act as limiting factors either making planning ineffective or making lesser degree of planned work. However, without planning, development is not possible particularly in a developing country. It is basic to carry out developmental tasks. The shortcomings of planning caused by these limitations can be overcome through careful and sincere efforts as illustrated in the pre-requisites for effective planning.

**5.0 SUMMARY**

Planning and policy analysis are inter-related. Planning sets the stage for meaningful analysis. Planning involves adopting social research findings to analyze government policies and programmes, especially in an underdeveloped country where a lot has to be achieved with limited resources and within a time-frame work. Both planning and

policy analysis identify problem or situations they intend to solve, collect relevant data, develop alternatives, adopt sequential orders for achieving their goals and coordinate and control their objectives. This procedure helps the policy makers to achieve better results of their policies or programmes.

#### **6.0 TUTOR-MARKED ASSIGNMENTS (TMAs)**

- (i) Discuss what you understand by planning
- (ii) Explain the pre-requisites for effective planning
- (iii) Analyse the problems encountered for effective planning in the Third World Countries

#### **7.0 REFERENCES/FURTHER READING**

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## **UNIT 3: PLANNING, PROGRAMMING & BUDGETING SYSTEM (PPBS)**

### **CONTENTS**

- 1.0 Introduction
- 2.0 Objectives
- 3.0 Main Contents
  - 3.1 Elements of PPBS
  - 3.2 Advantages of PPBS
  - 3.3 Disadvantages of PPBS
- 4.0 Conclusion
- 5.0 Summary
- 6.0 Tutor-Marked Assignment
- 7.0 References/Further Reading

### **1.0 INTRODUCTION**

PPBS embrace and emphasize the three concepts of Planning, Programming and budgeting. The “Planning” aspect of PPBS involves long-term determination of goals and specifying the best programmes to attain them. The “programming” aspect of PPBS involves structuring the budget in terms of goals (programmes). The budgeting function is the allocation of resources in money terms to achieve the specified goals, programmes and projects. PPBS is a macro-economic, centralized top-down policy and long-range planning technique. In this unit, we shall examine the meaning of PPBS, its elements, advantages, disadvantages.

### **2.0 OBJECTIVES**

At the end of the unit, students would be able to:

- Explain the concept of PPBS
- Understand its elements
- Understand its advantages and disadvantages; and
- Nigeria’s experience in its application

### **3.0 MAIN CONTENT**

#### **3.1 INTRODUCTION**

It is an integrated system of planning which involves systematic consideration of alternatives in the choice of strategies, and programming in the determination of manpower, material and other needs for accomplishing a programme. Then, budgeting is added to provide financial backing. In this unit, we shall examine the components of PPBS, the advantages and disadvantages.

#### **3.2 ELEMENTS OF PPBS**

PPBS constitute five following elements:

- (i) a program structure – a classification of the courses of action open to an organization for attaining its objectives;
- (ii) an approved program document that includes precise, quantitative data on needs, resource inputs, and program outputs extending a number of years into the future;
- (iii) a decision-making process that establishes the functions, rules, and timetables for the actions required by the PPBS;
- (iv) an analysis process for measuring effectiveness and for weighing alternatives; and
- (v) an information system that supplies the data required to implement the system.

PPBS is a management tool for providing a better analytical basis for decision-making and for putting such decisions into operation. The PPBS specifies that these activities should be integrated and coordinated within an organization. The integral components of PPBS involve:

- (i) Setting of specific objectives
- (ii) Systematic analysis to clarify objectives and to assess alternative ways of meeting them.
- (iii) Establishing resource requirements for each alternative
- (iv) the framing of budgetary proposals in terms of programmes directed towards the achievement of the objectives;
- (v) The projection of the costs of these programmes for a number of years in the future;

- (vi) Estimating benefits to be gained from each programme alternative in terms of probable outcome;
  - (vi) The formulation of plans of achievement on yearly basis for each programme and
  - (vii) Testing the long-range fiscal implication of the plan by analyzing both direct and indirect costs;
  - (viii) Evaluating the annual budget
  - (ix) Evaluating the success with which programme benefits are achieved;
  - (x) Revising planning standards; and
  - (xi) Repeating the cycle to accommodate changes and objectives, goals, available resources and the institution/agency's environment.
  - (xii) An information system for each programme to supply data for the monitoring of achievement of programme goals and for the reassessment of the programme objectives as well as the appropriateness of the programme itself (Oshisami, 1994:68).

In other words, the organization's budgeting must be integrated with its plans and programmes, such that the activities of the organization are clearly organized, guided and appraised. The budget time in PPBS is that of critical reviews and decisions regarding plans, programme and project reviews, projections and accomplishment levels . PPBS is, therefore, a comprehensive planning and budgeting system, which unifies the entire organizations in terms of coordinating the entire activities and functions of the organization. It is aimed at attaining organizational goals in an efficient and effective manner. Institutions and governments are often committed to PPBS because it permits the evaluation of:

- The efficiency and economy of programme;
- Alternative programmes or ways of implementing the same programme; and
- Giving priority to various programmes to determine their overall effectiveness.

### **3.5 APPLICABILITY OF PPBS IN NIGERIA**

In Nigeria, it was first adopted in the Western State in 1972-73 financial years. The Udoji Commission recommended its use for the nation's public service. By the end of 1970s, however, the system was hardly still in use in any of the governments that adopted it. This was because the technique encountered numerous problems.

According to Ikelegbe (1994), these problems were:

- (i) the requirement of goal determination which could generate possible conflicts;
- (ii) The requirement of cost-effective, most beneficial programmes with the quantifications and analysis involved which was rigorous
- (iii) The system required projections which are saddled with enormous data requirement analysis and uncertainties
- (iv) The problem of time. The time span required to plan and design programmes, review them and allocate resources could be considered long and may constitute delays.

The system was also placing in the hands of officials rather than policy-makers and politicians, the crucial role of deciding goals, planning programmes, making crucial decisions and allocating resources. As PPBS emphasized rationalism, efficiency and change, its introduction was resisted by officials because of the rigour, time and changes required (Eneanya, 2010:193-4).

### **3.3 ADVANTAGES OF PPBS**

- 1) Clearer definition of objectives and strategies
- 2) Enhancement of the flow of information and about inputs and expected outputs

- 3) Facilitating the skills and knowledge of budget officers in the analysis of the factors associated with informed decision
- 4) It is useful for capital budgeting

### **3.4 DISADVANTAGES OF PPBS**

- 1) PPBS is weak and unsuitable, especially in times of economic or financial decline;
- 2) It is not designed to improve administrative control over expenditure of fund;
- 3) It focuses on what will be done, not how to do it;
- 4) It does not provide an operating tool for line officer, who implement the policy and programme decisions
- 5) It is difficult for PPBS to evaluate the benefits of some government programmes
- 6) The dearth or complete non-availability coupled with conflicting social objectives and inability to relate outputs to objectives further complicate the difficulties

### **SELF-ASSESSMENT EXERCISE**

Explain the Advantage and disadvantages of planning, programming and budgeting system

### **4.0 CONCLUSION**

In this unit, we have been able to examine planning, programming and budgeting system. PPBS is an integrated systems of planning which involves systematic

consideration of alternatives in the choice of strategies, and programming in the determination of manpower, material and other needs for accomplishing a programme. Then, budgeting is added to provide financial backing. PPBS is aimed at attaining organizational goals in an efficient and effective manner.

## **5.0 SUMMARY**

PPBS is a comprehensive planning and budgeting system which unifies the entire organizations in terms of coordinating the entire activities and functions of the organization. It is aimed at attaining organizational goals in an efficient and effective manner. PPBS is made up of five elements:

- (i) a program structure – a classification of the courses of action open to an organization for attaining its objectives;
- (ii) an approved program document that includes precise, quantitative data on needs, resource inputs, and program outputs extending a number of years into the future;
- (iii) a decision-making process that establishes the functions, rules, and timetables for the actions required by the PPBS;
- (iv) an analysis process for measuring effectiveness and for weighing alternatives;  
and
- (v) an information system that supplies the data required to implement the system.

PPBS is a management tool for providing a better analytical basis for decision-making and for putting such decisions into operation.

## **6.0 TUTOR-MARKED ASSIGNMENTS (TMAs)**

- (i) Describe the major components of planning, programming and budgeting system
- (ii) Discuss the disadvantages of planning, programming and budgeting system

## **7.0 REFERENCES/FURTHER READING**

Eneanya, A.N. (2010). *Public Administration in Nigeria: Principles, Techniques and Applications*. Lagos: Concept Publications Ltd.

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## **UNIT 4: NETWORKING IN POLICY ANALYSIS**

### **CONTENTS**

1.0 Introduction

2.0 Objectives

- 3.0 Main Contents
  - 3.1 Meaning of Network Analysis
  - 3.2 Construction of a Network Diagram
- 4.0 Conclusion
- 5.0 Summary
- 6.0 Tutor-Marked Assignment
- 7.0 References/Further Reading

## **1.0 INTRODUCTION**

Network analysis is the technique used in planning and controlling well-defined programme or project and their implementation. Examples of sophisticated forms of networking are: Critical Path Method (CPM) and Program Evaluation and Review Technique (PERT). In this unit, we shall examine different forms of network analysis.

## **2.0 OBJECTIVES**

At the end of the unit, the students would be able to :

- Describe different forms of network analysis
- Understand how to construct network diagram ; and
- Understand how to use network techniques to execute, build appropriate scheduling, monitoring and control of policies or programmes.

## **3.0 MAIN CONTENT**

### **3.1 MEANING OF A NETWORK ANALYSIS**

Network analysis is a technique used in planning and controlling of well-defined programs or projects and their implementations. It can be used in executing, building appropriate scheduling, monitoring and control of proms. Examples of sophisticated forms of networking are as follows: Critical Path Method (CPM); Programme Evaluation; and Review Technique (PERT).

### **3.2 NETWORK DIAGRAM CONSTRUCTION**

Before constructing network diagram, there is need to plan projects by applying careful thought and application of logic. It follows some typical processes. These processes are called activities or tasks. The first step of these activities is to list

activities or tasks to be done. An activity or task is represented by a rectangle. The second step is to decide the order in which the task or activity is to be done. The third step is to decide which activities should start first or immediately. The fourth step is which activity needs to be completed before moving on to the next and work through all the activities until the end of the project. The final step is to write these activities or tasks as a network by putting the tasks or activities into rectangles and joining them with arrows to show the sequence or precedence – the logical relationships between them and how they inter-relate.

### **3.2 FORMS OF NETWORKING**

There are two major types of networking, namely: Critical Path Method and Programme Evaluation and Review Technique. Critical Path Method (CPM) is project modeling technique. It is commonly used with all forms of projects. Any project with interdependent activities can apply this method of mathematical analysis. The term is generally applied to any approach used to analyze a project network logic diagram. CPM is commonly used with all forms of projects, including construction, aerospace and defence, software development, research projects, product development, engineering, and plant maintenance, among others. Any project with interdependent activities can apply this method of mathematical analysis.

On the other hand, the Programme Evaluation and Review Technique (PERT) is a statistical tool, used in project management that is, designed to analyze and represent the tasks involved in completing a given project. It is used in conjunction with Critical Path Method (CPM). It was able to incorporate uncertainty by making it possible to schedule a project while not knowing precisely the details and durations of all the activities. It is more of an event-oriented technique rather than start- and completion-oriented, and is used more in projects where time, rather cost, is the major factor. It is applied to very large-scale, one-time, complex, non-routine infrastructure and Research Development projects.

### **SELF-ASSESSMENT EXERCISE**

Explain network analysis

### **4.0 CONCLUSION**

In this unit, we have been able to describe network analysis construction. Network analysis is the technique used in planning and controlling well-defined programme or project and their implementation. Examples of sophisticated forms of networking are: Critical Path Method (CPM) and Program Evaluation and Review Technique (PERT). They are both used as modeling techniques for simple and complex projects, respectively.

## **5.0 SUMMARY**

Network analysis is a technique used in planning and controlling of well-defined programs or projects and their implementations. It can be used in executing, building appropriate scheduling, monitoring and control of proms. Examples of sophisticated forms of networking are as follow: Critical Path Method (CPM); and Programme Evaluation and Review Technique (PERT). The first step of these activities is to list activities or tasks to be done. An activity or task is represented by a rectangle. The second step is to decide the order in which the task or activity is to be done. The third step is to decide which activities should start first or immediately. The fourth step is, which activity needs to be completed before moving on to the next and work through all the activities until the end of the project. The final step is to write these activities or tasks as a network by putting the tasks or activities into rectangles and joining them with arrows to show the sequence or precedence – the logical relationships between them and how they inter-relate.

## **6.0 TUTOR-MARKED ASSIGNMENTS (TMAs)**

- (i) Explain what you understand as Network analysis
- (ii) Analyse how a simple network diagram be constructed. Illustrate with Final year undergraduate project
- (ii) Explain how sequences of activities inter-relate in a Network analysis

## **7.0 REFERENCES/FURTHER READING**

*Eneanya, A.N. (2010). Policy Research, Analysis and Effective Public Policy in Nigeria. Lagos: Concept Publications Ltd*

Ikelegbe, A.O. (1994). *Public Policy-making and Analysis*. Benin-City: Uri Publishing Ltd

## **MODULE V: PUBLIC ANALYSIS TECHNIQUES**

### **CONTENTS**

#### **UNIT 1: NETWORKING ANALYSIS TECHNIQUES**

## **UNIT 2: COST-BENEFIT ANALYSIS AND COST-EFFECTIVENESS ANALYSIS TECHNIQUES**

## **UNIT 3: ANALYSIS OF SUBSTANTIVE POLICY ISSUES**

## **UNIT 4: CONSTRAINTS OF POLICY ANALYSIS**

## **UNIT I: NETWORKING ANALYSIS TECHNIQUES**

### **CONTENTS**

- 1.0 Introduction
- 2.0 Objectives
- 3.0 Main Contents
  - 3.1 Origins of CPM and PERT
  - 3.1 Basic technique of CPM
  - 3.2 Basic technique of PERT
- 4.0 Conclusion
- 5.0 Summary
- 6.0 Tutor-Marked Assignments
- 7.0 References/Further Reading

### **1.0 INTRODUCTION**

Critical Path Method (CPM) is project modeling technique. It is commonly used with all forms of projects. Any project with interdependent activities can apply this method of mathematical analysis. The term is generally applied to any approach used to analyze a project network logic diagram. On the other hand, the Programme Evaluation and Review Technique (PERT) is a statistical tool, used in project management that is, designed to analyze and represent the tasks involved in completing a given project. It is used in conjunction with Critical Path Method (CPM). In this unit, we shall examine the critical path method and its analysis.

### **2.0 OBJECTIVES**

At the end of the unit, students would be able to:

- Understand the basic technique of CPM
- Understand the basic technique of PERT

### **3.0 MAIN CONTENT**

#### **3.1 ORIGIN AND MEANING OF CPM**

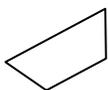
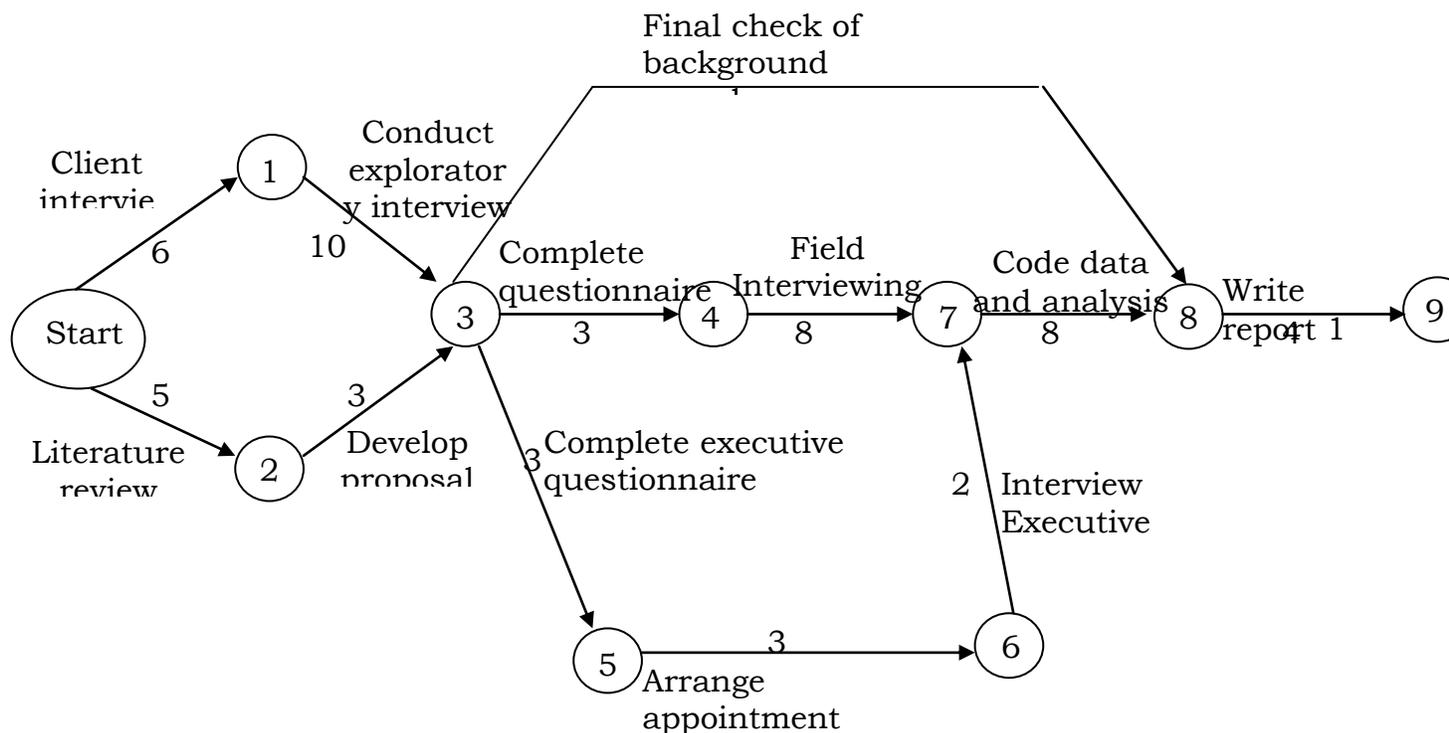
The Critical Path Method (CPM) is a project modeling technique developed in the late 1950s by Morgan R. Walker of DuPont and James E. Kelley, Jr. of Remington Rand. CPM is commonly used with all forms of projects, including construction, aerospace and defence, software development, research projects, product development, engineering, and plant maintenance, among others. Any project with interdependent activities can apply this method of mathematical analysis. Although, the original CPM program and approach is no longer used, the term is generally applied to any approach used to analyze a project network logic diagram.

On the other hand, PERT was developed for the US Navy Special Projects Office in 1957 to support the US Navy's Polaris nuclear submarine project. It was able to incorporate uncertainty by making it possible to schedule a project while not knowing precisely the details and durations of all the activities. It is more of an event-oriented technique rather than start- and completion-oriented, and is used more in projects where time, rather cost, is the major factor. It is applied to very large-scale, one-time, complex, non-routine infrastructure and Research Development projects.

### **3.1 BASIC TECHNIQUE CPM**

The technique is used in planning and control of well-defined projects or programme and their implementation, particularly with a simple management. It helps to determine the relationships between the activities and sequence of activities, in terms of what should be done first or later and the completion time. This scheduling activities is within a time frame and lead to event or milestone, and programme completion or achievement (terminus). Under CPM the earliest completion time of an event and the entire programme are determined. It helps to estimate time duration for the completion or various activities events and the entire programme.

The time duration of sequence of activities is the basis for the preference given for the programme or project by management when allocating resources. The basis for that preference is the activities and events critical to programme completion. Certain delays in those activities lengthen programme duration. The largest time duration and its completion determine that of the entire project, which the critical path is illustrated from the CPM diagram below:



CRITICAL PATH = 1-3-4-7-8-9-End = 47 days (Longest duration)

FIG. 2: CPM Chart of a Research Project

In the CPM chart – above, the nodes represent major milestones and the arrows suggest the work needed to get to each milestone. More than one arrow pointing to a node indicates that all those tasks must be completed before the milestone has been met. A number is usually placed on the arrow “shaft” showing the number of days or weeks required for that task to be completed. Once you have drawn the CPM chart, it draws your attention to two points:

1. It allows you to see which tasks can be conducted simultaneously. For example, the process of collecting data often has “dead” periods, because you have to wait until mailed questionnaires are returned or because of the time lag between making an appointment for an interview and administering the interview. The CPM visualizes which other tasks you could conduct in such periods (for examples, refine your literature review).

2. It enables you to determine the pathway from start to end that takes the longest time to complete, which is called the “critical path” because any delay in an activity along that path will delay the end of the entire project.

However, there are software programmes now available in personal computers, designed for project management, which simplify scheduling and charting the schedule.

### **3.2 DETERMINING THE CRITICAL PATH**

From the diagram above, critical path is calculated, thus:

**3.2.1 CRITICAL PATH** = 1-3-4-7-8-9-End = 47 days (Longest duration)

At Critical path, the slack period is zero.

**3.2.2 SLACKS** =  $0+2+3+4+7+8+E=39$ , that is,  $47-39=8$ days

$=0+2+3+5+6+7+8+9+E=36$ , that is,  $47-36=11$  days

**3.2.3 CRASHING THE CRITICAL PATH:** Means shortening the durations of critical path activities by adding resources in order to perform more activities in parallel, resulting in decreased time spent for the project. Crash duration is typically modeled as a linear relationship between cost and activity duration.

### **3.2 BASIC PERT TECHNIQUE**

It is a planning and control technique based on network analysis. It is used for planning and organizing tasks and activities in relation to programme completion. PERT can be used to analyze the involved tasks in completing a given project, especially the time needed to complete each task, and to identify the minimum time needed to complete the total project. PERT was developed primarily to simplify the planning and scheduling of large and complex projects with multiple management. It is more concerned with activities or jobs. PERT is similar to CPM in several ways. Both are flow charts. Both calculate expected completion times. Both determine the critical path. In fact, CPM can be subsumed in PERT analysis, because PERT involves CPM.

PERT, however, differs from CPM. First, it is concerned with events, unlike CPM that is concerned with activities. Second, PERT enables the calculation of variances in the expected completion times. In uncertainties, the most probable time for determining events can be determined. PERT is also more rigorous and sophisticated.

It is designed to manage large-scale and complex projects, with overlapping and multiple managements, logistic problems and imprecise objective. This is in contrast to CPM which is more applicable to a well defined programme with single management.

### **3.2.1 PERT AS IMPLEMENTATION TECHNIQUE**

The first step to scheduling the project is to determine the tasks that the project requires and the order in which they must be completed. The order may be easy to record for some tasks and difficult for others. Additionally, the time estimates usually reflect the normal, on-rushed time. Many times, the time required to execute the task can be reduced for an additional cost or a reduction in the quality. It has stages or flowchart, that is, a logical sequence of activities or events from programme starting to completion. Each task or activity has three time estimates: the optimistic time estimate (O); the most likely or normal time estimate (M); and the pessimistic time estimate (P). The expected time (TE) is computed using the formula:  $(O + 4M + P) / 6$ .

Once this step is complete, one can draw a Gantt chart or a network diagram. A Gantt chart is a technique for representing the phases and activities of a project work breakdown structure (WBS), so they can be understood by wide audience all over the world. It illustrates the start and finish dates of the terminal elements and summary elements of a project. Terminal elements and summary elements comprise the work breakdown structure of the project. Some Gantt charts also show the dependency (that is precedence network) between activities. They can be used to show current schedule status using percent-complete shadings and a vertical "TODAY" line.

On the other hand, a network diagram can be created by hand or software. There are two types of network diagrams, activity on arrow (AOA) and activity on node (AON). Activity on node diagrams is generally easier to create and interpret. To create an AON diagram, it is recommended (but not required) to start with a node named "START". This "activity" has duration of zero (0). Then, you draw each activity that does not have a predecessor activity and connect them with an arrow from start to each node, until you connect them to a node labeled "FINISH". By itself, the network

diagram does not give much more information than a Gantt chart. However, it can be expanded to display more information. The most common information shown is:

1. The activity name
2. The normal duration time
3. The early start time (ES)
4. The early Finish time (EF)
5. The late start time (LS)
6. The late finish time (LF)
7. The Slack

In order to determine this information, it is assumed that the activities and normal duration times are given. The first is to determine the ES and EF. The ES is defined as the maximum EF of all predecessor activities, unless the activity in question is the first activity, for which the ES is zero (0). The EF is the ES plus the task duration ( $EF = ES + \text{duration}$ ). Barring any unforeseen events, the project should take some work days to complete. The next step is to determine the late start (LS) and late finish (LF) of each activity. This will eventually show if there are activities that have slack. The LF is defined as the minimum LS of all successor activities, unless the activity is the last activity, for which the LF equals the EF. The LS is the LF minus the task duration ( $LS = LF - \text{duration}$ ).

The next step is to determine the critical path and if any activities have slack. The critical path is the path that takes the longest to complete. To determine the path times, add the task durations for all available paths. Activities that have slack can be delayed without changing the overall time of the project. Slack is computed in one of two ways.  $\text{Slack} = LF - EF$  or  $\text{slack} = LS - ES$ . Activities that are on the critical path have a slack of zero (0).

## **ADVANTAGES**

- (i) PERT chart explicitly defines and makes visible dependencies (precedence relationships) between the WBS elements;

- (ii) PERT facilitates identification of the critical path and makes this visible
- (iii) It facilitates identification of early start, late start, and slack for each activity;
- (iv) It provides for potentially reduced project duration due to better understanding of dependencies leading to improved overlapping of activities and tasks where feasible;
- (v) The large amount of project data can be organized and presented in diagram for use in decision-making

### **DISADVANTAGES**

- (I) There can be potentially hundreds or thousands of activities and individual dependency relationships
- (II) PERT is not easily scalable for smaller projects
- (III) The network charts tend to be large and unwieldy requiring several pages to print and requiring special size of paper
- (IV) The lack of a timeframe on most PERT/CPM charts makes it harder to show status although colours can help ( for example, specific colour for completed nodes)
- (V) When the PERT/CPM charts become unwieldy, they are no longer used to manage the project

### **SELF-ASSESSMENT EXERCISE**

Describe what you understand as the Critical Path Method

### **4.0 CONCLUSION**

We have been able to examine the critical path method and its analysis. CPM calculates the longest path of planned activities to the end of the project, and the earliest and latest that each activity can start and finish without making the project longer. This process determines which activities are “critical” and which have the “total float” (that is, can be delayed without making the project longer). In project management, a critical path is the sequence of project network activities which add up to the longest overall duration- the longest path. Activities on the critical path will usually have critical path drag, that is, they delay project completion. Whereas, activities that are off the critical path have float and are, therefore, not delaying

completion of the project. However, critical path activities duration can be shortened by adding resources (crashing the critical path).

## **5.0 SUMMARY**

CPM is a project modeling technique. Any project with interdependent activities can apply this method of mathematical analysis. The essential technique for using CPM is to construct a model of the project that includes the following: (i) a list of all activities required to complete the project; (ii) the time duration that each activity will take to completion, and (iii) the dependencies between the activities. Using these values, CPM calculates the longest path of planned activities to the end of the project, and the earliest and latest that each activity can start and finish without making the project longer.

## **6.0 TUTOR-MARKED ASSIGNMENTS (TMAs)**

1. Critically assess Critical path Method
2. Explain what you mean by PERT

## **7.0 REFERENCES/FURTHER READING**

Eneanya, A.N. (2010). *Policy Research, Analysis and Effective Public Policy Making*. Lagos: Concept Publications Ltd.

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## **UNIT 3: ANALYSIS OF SUBSTANTIVE POLICY ISSUES**

### **1.0 INTRODUCTION**

Policy analysis has come to be recognized as an important technique in assessing policy problems as well as policy impacts. It makes use of the required information in examining, deciding about, and finally, measuring the consequences of public policies. In this unit, we shall examine the analysis of substantive policy issues in health, Education and Energy sectors in Nigeria.

## **2.0 OBJECTIVES**

At the end of the unit, students would be able to understand:

- Systematic analysis of Health policy ;
- Systematic analysis of Education policy; and
- Systematic analysis of Energy policy

## **3.0 MAIN CONTENT**

Since policy analysis on these sectors is concerned with organizational effectiveness, a framework is required. In order to be able to assess the impact of policies and where appropriate, remedy or redesign the policies, we shall adopt the process theory as our framework of analysis of these policy issues. The process theory propounds six policy phases of analysis:

- Analysing the existing situation;
- Generating new policy options
- Evaluating the policy options
- Ratifying or choosing a policy option
- Implementing the policy option
- Assessing the policy impact and
- Re-cycling or redesigning a new policy for re-formulation

In this unit, we shall use this policy process framework to analyze the Health policy in Lagos State; Education and Energy policies in Nigeria.

## **3.0 CASE 1: HEALTH POLICY IN LAGOS STATE**

### **3.1 INTRODUCTION**

Over the past few decades, the science and practice of public health has evolved and its mandate has been enlarged. Rather, than being strictly confined to limited role in diseases prevention, public health has progressively become a central feature of the health sector through its involvement in policy making, management and evaluation at every level of the health services.

### **3.1.1 ANALYSING EXISTING SITUATIONS**

Prior to the administration of Fashola in healthcare delivery transformation, there were structures before him. These structures were not adequate to tackle the need of the people. Hence, infant and maternal mortality was still high; awareness of killer diseases was low; proliferation of fake drugs was in the system; healthcare manpower was grossly in short supply; inadequacy of modern equipment and facilities was the order of the day.

### **3.1.2 GENERATING NEW POLICY OPTION**

Fashola Administration then budgeted N16.4 billion in its first year to resuscitate the healthcare sector, but the actual expenditure was however ₦12.1 billion, which was 74 percent of the budgeted sum. The sums vetted for healthcare was increased continuously throughout the period under review. This was in a bid to sustain the tempo of reform in the sector. The government raised the standard of health care delivery, especially at the grassroots. Its strategy was to develop infrastructure, provide medical machines and drugs and improve/recruit medical personnel. It developed infrastructure on two fronts: tertiary healthcare facilities (Lagos State university teaching Hospital) and secondary Healthcare facilities.

In terms of tertiary Healthcare facilities, the government established the BT Health, and Diagnostic centre, and strengthened facilities at the Dental care centre. About 208 students graduated from the medical school and were involved in the provision of equipment for the treatment of cancer, renal diseases, training and burns at various treatment centres. In the area of provision of secondary healthcare facilities, the state government has 54 HIV/AIDS screening and counseling centres and is committed to the distribution of free drugs to patients. It has five operational emergency medical services outlets, six maternal and child care centres at old Toll Gate, Lagos – Ibadan

expressway, 276 functional primary Health care centre, 17 health facilities upgraded; and 276 functional PHCS.

### **3.1.3 IMPLEMENTATION OF THE POLICY CHOSEN OPTION**

To improve processes, the government is involved in the computerization of medical Records in some of the state secondary and tertiary health facilities (e-health). The performance of the government has not been restricted to upgrading and building of facilities to international standard, but has gone the extra mile to procure machines that were hitherto non-existent in the state's health care system. The number of machines has increased over the period. Commitment has also been shown to manpower development.

The administration initiated the Eye care Health system Development initiative to reduce to the barest minimum, the high rate of preventable blindness in the state. The administration then enhanced capacity by training and re-training primary health care personnel for eye care. The trainees include newly employed nurses at the local government areas, newly employed medical officers of health councils, 14 serving medical officers, 28 nursing students from the school of public health, 22 serving nurse from the local government councils who have not been trained, and seven senior ophthalmic nurses from the secondary eye care units.

The state government made provision for personnel to man to over 141 primary eye care units scattered all over the state. In the last three and half years, there was a 53 percent increase in medical doctors employed (645 in 2007 and 984 in 2010) and 6, 259 nurses and mid-wives were also employed. A number of programmes were initiated to increase awareness and sensitize citizens. The routine immunization of preventable diseases in children (Roll-Back malaria) and over 556,400 treated mosquito nets were distributed, others are missions set up to create awareness on hypertension and diabetes screening, blindness prevention, limb deformity corrective surgery material mortality reduction, cleft lip and palette corrective surgery and breast, prostate and cervical cancer awareness.

To reduce child and maternal mortality, the administration kicked off the full implementation of the “Integrated Maternal, Newborn and child Health” (IMNCH) strategy, a high profile initiative to fast-track the attainment of the youth and fifth Millennium Development Goals (MDGs). This is in a bid to save 200,000 mothers and an estimated 6 million children. The initiative is being implemented simultaneously across the state. Having observed the seriousness of the Fashola’s Administration on healthcare delivery, many institutions volunteered to complement it. The Eko club international which undertook five health missions to the state within the course of Fashola’s administration is one of such. The fourth Eko Mission was a success with six open heart surgeries safely conducted with equipment fully owned by the state. On the whole, about 1.7 million people benefitted from the activities of voluntary groups.

#### **3.1.4 ASSESSING THE POLICY IMPACT**

The outcome of Fashola government’s effort and those of several volunteers led to the treatment of about 13.2 million out – patients, the sustenance of at least one primary healthcare centre in each LGAs/LCDAs, numerous correction surgeries (corrective surgeries, 265 limb deformity corrective surgery, 273 cleft lip and palate, 2407 cataract extractions) 62,367, live births (95% live births).

In addition, 79 percent of children less than age five years were immunized, 95 per cent increased in malaria cases treated (424,908 in 2007 – 827,219 in 2010) 98 percent of children under one year in BCG immunization coverage; 21,217 pairs of spectacles were given out free to patients, 999 accident cases were treated at the toll gate Emergency/Accident centre between April and December, 2010. Waiting time at state government hospitals is also estimated to have reduced from two hours to one hour and is expected to still reduce further in the next few years according to report.

#### **3.1.5 REDESIGNING A NEW POLICY**

In spite of this, there is needed to introduce Electronic health (e-health) strategy to health administration system. The World Health Organization (WHO) recognizes e-

health as a veritable tool to deliver health information for health professionals and health consumers, through the internet and telecommunications as well as using IT to improve public health services through education and training of health workers etc. As e-health not only helped health economists focus on a lot of inexpensive clinical applications, such as: tele-neonatology, tele-paediatrics. It has become an essential tool to administer healthcare needs in developed nations with pockets of these developments in developing countries.

According to expert, “e-health would provide efficient and cost-effective healthcare services for people in remote areas through early diagnostics, logistics and supplies as well as help individuals to make informed decisions about their health. Beneficiaries of e-health include patients, health care professionals and providers, government bodies, policy makers, health care educators and students. A national e-health committee should, therefore, be constituted, possibly under the purview of the National Council on Health, with membership drawn from all major stakeholders – private sectors, academic/universities, NGOs in health, development partners, professional bodies and health associations. This body should be charged with the responsibility of providing policy advice to the government on telemedicine and e-health matters.

### **3.2.0 CASE 2: EDUCATION POLICY IN NIGERIA**

#### **3.2.1 INTRODUCTION**

Government has often viewed education as an instrument of national development. The need for national policy on education became necessary, especially the need to invest on education that would impact on the citizens and the society. Hence, after the National Curriculum Conference, a seminar of experts drawn from a wide range of interest groups within Nigeria was convened in 1973. The seminar, which included voluntary agencies and external bodies, deliberated on what a national policy on education for an independent and sovereign Nigeria should be. The outcome of the seminar was a draft document after due comments were received from the states and other interest groups, led to the final document, the National Policy on Education, first

published in 1977 and revised in 1981, 1998 and 2004, keep with the dynamics of social change and demands on educational policy innovations.

### **3.2.2 ANALYSING THE EXISTING SITUATION**

Several efforts have been made from colonial times to structure the course of education in Nigeria. However, Nigeria waited till 1977 to introduce its own policy. This policy remains fussy and largely abandoned because of several socio-economic and political crises which have crippled the educational system in Nigeria.

### **3.2.3 GENERATING NEW POLICY OPTION**

The desire to diversify and restructure the education system from those inherited from the British colonial regime 6+5+2+3 model (six years in primary school, five years in secondary schools, two years in high school and three years in universities) led to the introduction in Nigeria of the 6+3+3+4 model (six years in primary school, three years in junior secondary school, another three years in senior secondary schools and four years in the university of formal education. This new system was designed to provide compulsory pre-vocational core subjects at the junior secondary school level along with technology instead of importing or depending on its transfer.

### **3.2.4 EVALUATING THE POLICY OPTIONS**

It could be observed that this policy actually covers almost all the possible foci of an education policy, ranging from its philosophy through pre-primary education, primary education, secondary education, higher education, including: professional education, technical education, adult and non-formal education, special education teacher education, educational services, administration and planning of education to financing of education.

### **3.2.5 GENERATING NEW POLICY OPTION**

The desire to diversify and restructure the education system from those inherited from the British colonial regime 6+5+2+3 model (six years in primary school, five years in secondary schools, two years in high school and three years in universities) led to the introduction in Nigeria of the 6+3+3+4 model (six years in primary school, three years in junior secondary school, another three years in senior secondary schools and four years in the university of formal education. This new system was designed to

provide compulsory pre-vocational core subjects at the junior secondary school level along with technology instead of importing or depending on its transfer.

### **3.2.6 RATIFYING THE POLICY OPTION**

In 1977, the Federal Government formulated a New National Policy on Education, which ushered in the 6-3-3-4 system of formal education. The educational policy was based on the five main national objectives of Nigeria as contained in the second National Development plan (1970-1974) which include the achievement of;

- (i) A free and democratic society;
- (ii) A just and egalitarian society;
- (iii) A united, strong and self-reliant nation
- (iv) A great and dynamic economy;
- (v) A land of bright and full opportunities for all citizens

### **3.2.7 IMPLEMENTING THE POLICY OPTION**

The 6+3+3+4 system formal education was actually designed to remove the imbalance in the 6+5+2+3 and to introduce compulsory pre-vocational core subjects at the junior secondary school along with Arts and Science subjects. The aim of the early introduction of the child into pre-vocational education is to arouse the interest of the child in science and technology. It was believed that with this early introduction to science and technology, the system will help to bring about vocational skills acquisition and technological advancement which are necessary ingredients for social, economic and political development.

### **3.2.8 ASSESSMENT OF POLICY OPTION**

The federal and state governments are responsible for higher education. However, the performances of the federal and state governments on education are poor. There has not been enough interest on the part of various governments - federal and states in the provision of the most valuable aspect of education pre-primary education. Infrastructural facilities are lacking in most primary school. Instructional facilities are in short supply. Adequately trained teachers are not enough and those available are not enough and those available are not motivated enough to improve their job performance. The results are frequent strikes, disrupting the system and the increase in the number of private schools being established.

The performances of the tertiary institutions have also not been encouraging. Industrial strikes by the three unions in the universities, polytechnics and colleges of education are rife. These strikes have affected the quality of teaching and learning.

Infrastructural facilities, instructional materials, library facilities, laboratories and workshop equipment are grossly inadequate for effective academic work. The leaders do not show enough concern over the shortage of instructional facilities in the universities, many of which are nothing but glorified secondary schools. Adult and non-formal educations have been relegated to the background. Pitiably little revenue is allocated to adult and non-formal education annually. For example, between 1970 to 1996, adult literacy increased from 25% to 56% (Human Development Report, 1997). The neglect of adult and non-formal education has affected adults who missed the opportunity of having formal education.

### **3.2.9 REDESIGNING A NEW POLICY**

The assessment of the performance of national policy on education over the years show that, there is need for our leaders to have a rethink on the attitude towards education, especially in the following area,

1. Budgetary allocation to education should be improved tremendously to meet UNESCO's benchmark of minimum of 26%. It is through human development that enlightened and skilled citizens can help in socio-economical transformation.
2. There is need to step up the funding and management of adult and non-formal education, in order to provide opportunities for adults, who had earlier missed their opportunities to acquire formal education or those who had some education but would want to improve on the level of educational attainment. Adult and non-formal education programmes help in giving equal education opportunities to every citizen, irrespective of age, sex, religion or social economic or political status in the society.
3. Nigerian leaders should encourage research designed to improve the quality of education. This they can do by sponsoring and utilizing the result of research.

4. Government should provide the enabling environment to encourage teaching and learning, Teachers or lecturers should be given good working conditions. Salaries and allowances paid to teachers or lecturers should be motivating enough to boost effective performance.
5. The grossly ill-equipped laboratories and educational infrastructural facilities should be addressed. Laboratory spaces need massive expansion to cope with the demands of Nigeria students. Equipment must be provided and improved if possible.

These suggestions should be ploughed back as inputs for new policy formulation. This would facilitate a fresh beginning in the policy process.

### **3.3.0 CASE 3: ENERGY POLICY IN NIGERIA**

#### **3.3.1 INTRODUCTION**

The term privatization is typically used to describe the transfer of activities from the public sector to the private sectors. It includes contracting out as well as reducing or discontinuing the provision of some goods and services by government (World Bank, 1993). Privatization entails a move towards private property and away from government ownership and regulations. Power Holding Company of Nigeria (PHCN) is one of the nation's assets meant to be privatized. The military government of presidents Ibrahim Babagida promulgated Privatization Decree No 25 of 1988. This decree empowered another body established in 1988, called Technical Committee on Privatization and Commercialization (TCPC) to implement the Privatization and Commercialization policy. To allow for effectiveness of its three privatization exercises, the committee recommended that the exercise should be carried out sector by sector and in phases.

In the first phase of the guided privatization programme, enterprises in telecommunication, electricity provision, petroleum refining, Petrochemical and bitumen production and tourism development were to be affected (Eneanya, 2010:116). Specifically in 1998, NITEL was to be privatized, while Power Holding Company of Nigeria (PHCN) was to be broken into three main activities of power generation, transition and distribution to facilitate privatization. The guided

privatization programme also involved the setting up of a high – powered National Committee on Privatization. This committee would approve and concretize the sale of any ventures.

### **3.3.2 ANALYZING THE EXISTING SITUATION**

Before President Jonathan first took over office as Acting President, the entire energy sector was in a mess. Daily generation was as low as 2,500 MW. This was because privatization had been halted by President Yar'Adua on the advice of Rilwan Lukman, while Nigeria Electricity Regulatory Commission (NERC), the regulator had been decapitated by the removal of its leadership.

### **3.3.3 GENERATING AND EVALUATING NEW POLICY ALTERNATIVES (OPTION)**

Into this blighted landscape, president Jonathan established Presidential Task Force on Power (PTFP), chaired by Bart Nnaji, in April 2010, with a clear mandate to get the sector back on the track established by the Electric Power Sector Reform Act (EPSRA). EPSRA is all about an electricity sector guided by well defined institutional policy pillars: one, the separation into three sectors – generation, transmission and distribution. Two, the separation of policy-making by the ministry of power from regulation of NERC. Three, private sector – led investment and management in the three sectors, and four, the provision of regulatory certainty by a NERC that has the full power and authority to set standards of behavior and performance in both the economic (tariffs, competition and customer care) and the technical (net work engineering and operations, health, safety) aspects of the market. Anyone who cares to read the National Electrical Power policy, 2001, reinforced by President Jonathan's August 2010 Road-map to power reform will see these pillars clearly.

### **3.3.4 RATIFYING THE POLICY OPTION**

The PTFP's task in 2010 was threefold: restart the privatization programme, restore the regulator to health, and get daily generation and supply of electricity back to the best level that a dilapidated network can deliver and maintain. As earlier noted, the latter two tasks were completed in six months. The trend of daily generation capacity has been up, so much so, that daily output between 4,000 MW and 4,500 MW has

become the norm. It is, however, estimated that before 2020, power generation would be between 20,000 to 25,000 mega watts (MW). The Nigeria Electricity Regulation Commission (NERC), the regulator was reconstituted with a new set of leaders and the privatization programme had started.

### **3.3.5 IMPLEMENTING THE POLICY OPTION**

The Bureau for public Enterprises (BPE), which is handling the privatization of the power sector on behalf of the Federal Government has verified all bank guarantees provided by the preferred bidders for Power Holding company of Nigeria (PHCN ) successor generation companies (Gencos) and successor distribution companies (Discos). The National Council on Privatization (NCP) had in October, 2012, met to approve the preferred bidders for the five generation and ten distribution companies created from the unbinding of the Power Holding Company of Nigeria (PHCN). The generation companies (Gencos) are those at Sapele, Geregu, Ughelli, Shiroro and Kainji – Jebba.

The distribution companies (Discos) on the other hand, are Eko Electricity Distribution Company, as well as Ikeja, Yola, Ibadan, Benin, Enugu, Port Harcourt, Jos and Kano Electricity distribution companies. Amperion Power Distribution Company Limited, Transitional Corporation of Nigeria Plc Consortium, CMEC/Eurafic Jv Consortium, Mainstream Energy Solutions Limited and North-South Power Limited, are the preferred bidders for the five thermal and hydro power stations, being sold by the federal government to core investors. Plans have been set in motion to provide adequate funding to improve TCN infrastructure on the sustainable basis, while stable gas supply would be guaranteed. Deadline for Bank guarantee for new power investors was set to November 23, 2012, for receipt for fifteen percent (15%) of the transaction value. And after 15 business days of signing the sale and purchase agreement or shareholders' agreement, whichever was earlier or at a mutually agreed earlier date, the bidders shall make a down payment of 25% of the shares sales purchase price before the execution of transaction documents.

There has been high level discussion on the funding of the Nigerian Electricity Liability Management (NELMCO) and the Bulk Trade, in order to ensure financial

stability of the Nigerian Electricity Supply Industry (NESI) adding that bills falling due to the management contractor of the Transmission Company of Nigeria (TCN) had either been paid or were at an advanced stage of processing for payment.

On Manpower shortfalls in post-privatisation era, PHCN needs about 8,500 Engineers, as against current established staff of 3,000 out of which 1,000 are due for retirement in 2012 (Business day, Tuesday 18, September, 2012). For this challenge, PHCN needs to invest on training to build greater skills in management, maintenance and operation sectors of the power system. The expected manpower needs to match technical staff sector alone is about 17,560 required between now and the next five years. So far, 1,000 fresh Engineers would be employed and trained for one year. However, PHCN has about 10 to 15 work stations, and it will amount to one student to one work station.

### **3.3.6 ASSESSING THE POLICY IMPACT**

Promising as these implementing Agencies' programmes are, it is bedeviled with many challenges. First, it is now very clear that despite having about 5,000 Mw capable of being delivered to the national grid daily, unless massive investment is deployed and sustained over a number of years, the Nigeria Electricity System cannot generate, transmit and distribute better than 4,000 MW daily. In other words, about 1,000 MW is now strained daily for various reasons, including lack of fuel, lack of transmission capacity and lack of distribution capacity. Put differently, there is no point seeking to increase generation capacity unless we can find money for commensurate investment in the transmission and distribution sectors.

Another stark truth is that even 4,5000MW daily may not be sustained without resulting in massive system failure caused by the unbearable pressure on an aged and decrepit transmission and distribution sector. This reality is brought about by decades of under investment and neglect, leading to very bad engineering management practices. Ultimately, nobody cares about the available 6-7, or 8,000 MW. We only want to know about what is delivered to our homes, and so anybody who promises the

president anything better than 4,5000 MW delivered to consumers daily, is quite frankly, a shameless hair.

### **3.3.7 REDESIGNING NEW POLICY INTO POLICY CYCLE**

There should be clearly defined structures and functions of key players in the power sector, to avoid duplication. As presently constituted, four key players could be identified, namely:-

- (1) Minister of power, whose primary responsibility must be to ensure that daily generation delivered to the distribution companies stays between 4,000 MW and 4,5000 MW.
- (2) The BPE whose task is to deliver completed privatization transactions by first quarter 2012 according to already established timelines.
- (3) NERC, whose job is to establish the body of regulatory rules and orders that will set Standards of behaviour and performance for all players.
- (4) NIPP, whose sole task is to complete the various generation, transmission and distribution of projects that assured the country of contained supply, until around mid-to Q32014, when the gains of privatization via the various rehabilitation and capacity recovery projects and improvements brought about via investments by new private sector owners and managers of the electricity companies. Currently, Presidential Advisory Committee on Power (PACP) was established for information management and data processing.

Today, the ministry of power has two key roles. First, ensure the flow of strategic information on the performance of sector reforms to the president and the PACP, and second, maintain pressure in ensuring that generating companies and IPPS generate 4,300 MW daily, TCN transmits the resulting energy to the distribution companies, sell that energy to their customers and collect the revenues earned. So, where does PTFP fits in? To avoid duplication, it should be a unit in the ministry of power.

Moreover, FG – owned Transmission Company of Nigeria (TCN) would be managed by Manitoba Hydro of Canada. It needs Board of Directors to avoid interference from the ministry of power, as was the case with NEPA/PHCN.

To check corruption and avoid monopolists emerging in the generation and transmission, BPE/NERC should ensure that winner of the bid should be from consortia, which clearly demonstrates multiply ownership, respect for regulations and rules of corporate governance. The ability to attract significant amounts of equity and debt capital and a preparedness to get quoted on the Nigerian stock Exchange within the shortest time, so that Nigerians can at least be part-owners of the monopolies that facilitate (and even control) their daily lives.

Another challenge that the power sector would address is manpower. The power sector system lacks structured training since 1989. According to report, beneficiaries of skilled training prior to 1989 would have all retired by 2012, leaving the sector desolate. The current staff strength is 3,000 out of which 1,000 are due for retirement in 2012. The sector needs 8,500 engineers and about 17,560 technical staff (Business day 18, Tuesday, 2012).

There is, therefore, the need to invest on training. There is no way you can get the power sector up and running, without a skilled workforce. You can improve on the physical infrastructure of the power sector, you can address the fuel. Even if there is water, gas equipment that will generate, transmit and distribute electricity, you still need human beings, who must understand the principles of electricity. It is through training that those who are going to manage and operate the power system for the nation would be realized.

Therefore, the NERC, the regulatory body must set the parameters and standards of market performance and behavior. The NERC should be up to the task of analyzing industry performance metrics, anticipate the behaviour of both consumers and operators and put in place and enforce or implement the right kind of rules that ensure the achievement of the policy objectives of the sector reform. Instead of allowing ministry/Minister to oversee the regulatory activities of NERC, it should be placed under the presidency and adequately resourced financially and in human capacity. Therefore, it behoves the president to validate NERC's existence by putting the weight

of his office behind NERC and to seek its analysis, opinion and advice on the progress of reforms in the sector.

### **SELF-ASSESSMENT EXERCISE**

Analyze any Federal or State government policy you know

### **4.0 CONCLUSION**

In this unit, we have examined the health policy in Lagos State, Education and Energy policies in Nigeria. The process theory framework provides us with a systematic analysis of information and its use in a policy-related context. Based on the appraisal of systems performance using the above framework, issues for various goals can be identified, which would facilitate policy analysis, leading to rational policy and decisions.

### **5.0 SUMMARY**

Policy analysis has come to be recognized as an important technique in assessing policy problems as well as policy impacts. It makes use of the required information in examining, deciding about, and finally, measuring the consequences of public policies. Since the analysis of Health, Education and Energy policies are concerned with organizational effectiveness, the process theory framework was adopted for the analysis. This theoretical framework provides the kinds of information used to define policy, and also the analytical processes. The basis to the framework is a process of information for policy analysis, which is derived from analyzing the existing situation,; generating new options; evaluating the policy options; choosing a policy option; implementing the policy option, assessing the policy option and redesigning a new policy as into for reformulation. The analytical framework facilitates policy analysis, which leads to rational policy advocacy or decision, as illustrated in the three case studies on health, education and energy policies in Nigeria.

### **6.0 TUTOR-MARKED ASSIGNMENTS (TMAs)**

- (1) Using any theoretical framework, assess any Federal or State government policy in Nigeria
- (2) Analyze Lagos State Transportation policy using Process theory framework

## **7.0 REFERENCES/FURTHER READING**

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## **UNIT 4: COST-BENEFIT (CBA) AND COST EFFECTIVENESS (CEA)**

### **TECHNIQUES**

- 1.0 Introduction
- 2.0 Objectives
- 3.0 Main Contents
  - 3.1 CBA Technique
  - 3.2 CEA Technique
  - 3.3 Comparative analysis of CBA and CEA
  - 3.4 Critiques of CBA and CEA
- 4.0 Conclusion
- 5.0 Summary
- 6.0 Tutor-Marked Assignment
- 7.0 References/ Further Reading

### **1.0 INTRODUCTION**

In policy analysis, certain techniques are used for planning, analysis, evaluation and management of policies and programmes. Some of these techniques are: system analysis, linear programming, simulation, decision tree analysis, cost-benefit analysis, cost-effectiveness analysis and others. In this unit, we shall compare two techniques: the cost-benefit and cost-effectiveness analyses techniques.

#### **1.0 OBJECTIVES**

At the end of the unit, students would be able to:

- Explain the meanings of Cost-Benefit Analysis and Cost-Effectiveness Analysis;
- Understand the differences between Cost-Benefit Analysis and Cost-Effectiveness Analysis

### **3.0 MAIN CONTENT**

#### **3.1 COST-BENEFIT ANALYSIS (CBA)**

It is an analytical technique for analyzing decision of programmes or project. It involves evaluating all the costs of a programme or project whether tangible or not and all the benefits accruing to the programme or project whether there are in short term or long –time in qualitative and quantitative terms. The net benefit (subtracting cost from benefit) is what paves away to choice or decision. It helps to determine the most effective and alternative decision-decisions with net social benefits. Moreover, it helps in project evaluation so that

decision can be taken on its choice or feasibility. In other words, cost-benefit analysis techniques are useful for decision-making and evaluations.

Cost-benefit analysis is in theory a much more powerful tool for decision-making than cost effectiveness. It can be used, for example, to choose between such diverse alternatives, such as: allocating funds to build educational institutions, a bridge or dam with irrigation and flood control as goals to providing ante- and post-natal facilities to reduce maternal and child mortality. If the project's cost about the same thing, it is merely a question of choosing the project for which the benefits exceed the cost by the greater amount. In the exercise, we should not forget to cost and value the indirect consequences resulting from a project- the so-called externalities, side-effects and spill-over, for example, the Bar Beach that over-flowed its bank rendered shipping unusable; affected tourists and small road-side businesses. It should also be noted that a project may still find favour in public policy even if the costs outweigh the benefits. In circumstances, such as this, the government usually takes political and social factors into consideration as well.

### **3.2 COST-EFFECTIVENESS (CEA)**

It is a tool for determining the least cost of alternative programme or project.

It bears some similarity with cost benefit analysis. The differences between costs-benefit analysis and cost –effective are that the former emphasizes net social benefit, while the latter emphasizes least cost of alternative or higher benefits (Ikelegbe, 1996). Cost effectiveness requirements are based on the realization of the obvious difficulties of quantifying and monetizing the benefits of public policy programmes. To an analyst using this technique, the benefits are assumed, and the search is for the lower cost, but maximally effective alternative to attaining the benefits. Cost effectiveness requires a clear statement of objectives and output. It requires the comparison of alternatives in relation to alternative objectives. The alternative that achieves most at the same cost is preferred.

Cost effectiveness is useful and applicable to policy makers or project managers in situations where the objectives and benefits of a programme accomplishment are fixed and identical and the issue is only the determination of the least cost alternative with highest effectiveness. Moreover, where the budget allocations or funds to perform certain activities are fixed and the issue is the determination of the alternative that would utilize the given level of funds to achieve greater benefits or higher level of effectiveness. Cost effectiveness is particularly useful because of the limited and inadequate resources available to governments and corporations amidst so much problems, demands and needs (Ikelegbe,

1996:50). Governments and Corporations would often like to know the efficiency and effectiveness of resources expended.

However, effectiveness measurement could present a problem. However, the problem could be solved by measuring effectiveness on a scale that depends on the nature of the goal. For example, if we were to evaluate the effectiveness of educational programmes to improve reading performance, we could directly relate the effectiveness on a standardized reading test. We are often able to use cost-effectiveness to rank competing alternatives that seek different goals, for example, to decide on the best overall use of money when we have several long-range objectives in mind. That requires something more, for instance, that there be a way to compare the worth or benefit for a particular cost of achieving a certain effectiveness for one goal with that of another.

### **3.3.0 COMPARING CBA AND CEA SIMILARITIES**

- (1) Aside from this major distinction, the two forms of economic analysis are basically identical;
- (2) Both approaches attempt to assess the desirability of alternatives;
- (3) Both look at short-and long-run costs and benefits;
- (4) Consequently, both are troubled with the same kinds of methodological problems

### **3.3.1 DIFFERENCES**

- (i) The potential merit of cost benefit analysis over cost effectiveness analysis is that the former allows for analysis across subject areas. When the expressed ratio of benefits to costs of a program is 1.0, costs are equal to benefits. As the ratio increases, the benefits accruing have increased. In contrast, cost-effectiveness analysis would not allow such direct comparisons since the effects would be expressed in time saved and families able to sustain themselves. It has limited utility it takes benefit as given;
- (ii) The technique does not help to justify the costs to benefits of alternative programmes;
- (iii) Beside, its utilization is difficult because of the quantification or monetization or enumeration of the benefits of the programme or its alternative;

### **3.3.2 CRITIQUES OF CBA AND CEA**

Critics have observed that both tools of analysis have certain limitations which make them inadequate as tools of analysis and they include:

- (1) The first critical problem of either approach is that of estimating what are the causal relationships operative in the problem under analysis. In examining alternative

programs, the analysis will be required to make some assumptions about causation in order to proceed. Some reliance can be placed upon earlier experiences or evaluation of existing programs of similar character.

- (2) In some cases, there may be little available material from which to make an assessment of causal relationships. This is the case particularly when new technologies and materials must be developed as part of the project being analyzed. In other words, predictions, estimates or guesstimates must be made regarding the relationships between resource inputs and technological breakthroughs;
- (3) There is the issue of what gets counted as a cost and a benefit. Determining the financial costs of existing programs is often difficult, because accounting systems are designed to produce information by organizational unit and not by program as specified in program structures. Even, when this matter is resolved, all that is produced are the direct financial costs to government. Indeed, a standard criticism of economic analysis is that it tends to consider only the costs to government and not the costs imposed upon others. Failure to consider all costs tends to weight the analysis in favour of the proposed project under review.
- (4) Indirect costs as well as benefits imposed or granted to others are referred to as externalities or spillover, secondary and tertiary effects. These are costs and benefits that affect parties other than the ones directly involved. Most government expenditure decisions involve the same kinds of spill-over effects. The costs of an urban renewal program may be assessed in terms of the outlays required for purchasing and clearing land to the exclusion of spillover costs upon families, businesses and industries that must be relocated. However, the argument is made that there are no such things as secondary or spillover effects that anyone or anything affected by a program should be part of the explicitly considered benefits and costs of that program.
- (5) Related to spillover costs and benefits are redistributive effects, a matter which analysis often ignores. Involved here is the matter of whether some groups in the society will be benefitted more than other groups. Other criteria for judging redistribution include: race, educational level, and occupational class.
- (6) Even, if an ideal model was designed, displaying all of the relevant types of costs and benefits or effects, the problem of quantifying these remains. Much of the problem of setting market values in the analysis stems from the fact that governmental programs do not entail market prices. Much of economic analysis in the public sector, however, must input the prices or values of programs.

This practice is known as shadow pricing. The procedure is easiest in dealing with business-like operations of government such as in providing water and electrical power and most difficult in areas involving social values. Thus, the relevant concept of the cost of a public expenditure is the value of the benefits forgone by not leaving the money in the private sector, where it would be consumed or invested.

However, a naira diverted from the private to the public sector is not just an equivalent naira cost or dollar benefit forgone. As Feldstein (1965) has written, “part of the money taken from the private sector decreases consumption immediately, while the rest decreases investment and, therefore, future consumption”. Thus, the value of a naira removed by government expenditure is worth the “discounted value of the future consumption that would have occurred if the investment (in the private economy) had been made. Some charge must be made against that naira removed from consumption in order to arrive at the current value of future consumption forgone. This charge is variously known as the discount or interest rate (Banks and Kotz, 1966: 283-92).

Moreover, most investment projects involve an early expenditure of heavy capital costs followed by a tapering off to operating costs. Returns are non-existent or minimal for the first few years and then increase rapidly.

The comparison of costs to benefits over time makes the necessity for discounting obvious. Higher costs occur earlier in most projects. The higher benefits which occur later are valued less because of the time factor. Costs and benefits must, therefore, be compared within each time period (usually each year), and the differences summed over the lifespan of the project. This is in essence what a discount rate accomplishes. The longer it takes for returns to occur, the more their value is discounted. In effect, it is compound interest in reverse. Costs, occurring earlier, are subject to less discounting. Thus, for a project to be economically feasible, total benefits must exceed the discounted costs, but the discounted values of benefits must exceed the discounted costs.

The importance of the discount rate will vary in terms of the similarities or dissimilarities of program alternatives being compared. Dissimilar projects may have significantly different discount rates. The social opportunity costs of money invested in health services, for example, may be quite different from the costs of money invested in water resources. The same discount rate applied to both of these could be highly misleading.

There are other means than analysis for providing help to a decision-maker, who has to arrive at a choice between alternatives. These include (Oshionebo, 1998:77-83):

- Perceived needs of the people that is, relevance of programme irrespective of cost;
- Political and social expediency
- Pure intuition with or without divine guidance and
- “muddling-through” – a sort of trial and error process in which naturally occurring feedback from what actually happens, supplemented by limited analysis, serves to provide the help.

### **SELF-ASSESSMENT EXERCISE**

Explain Cost-Benefit Analysis

### **4.0 CONCLUSION**

In this unit, we have been able to discuss cost-benefit analysis and cost-effectiveness analysis. CBA is a principal analytical tool used to evaluate public expenditure decisions. It requires systematic enumeration of all benefits and all costs, tangible and intangible, whether readily quantifiable or difficult to measure, that will accrue to all members of society if a particular project is adopted. On the other hand, cost-effectiveness analysis is characterized by measuring costs and benefits in different units, with no need to search for a common metric. Because benefits and costs are measured in different units, cost-effectiveness is not useful when we are unsure whether the total benefit from an undertaking justifies the total cost. CBA's limitation as a tool of analysis stems from the fact that it is especially vulnerable to misapplication through carelessness, or outright deception. They can be no more precise than the assumptions and valuations that they employ. Cost-effectiveness analysis, on the other hand, is not a useful guide when we are trying to select the optimal budget level for a project.

### **5.0 SUMMARY**

It is an analytical technique for analyzing decision of programmes or project. It involves evaluating all the costs of a programme or project whether tangible or not and all the benefits accruing to the programme or project whether there are in short term or long –time in qualitative and quantitative terms. The net benefit (subtracting cost from benefit) is what paves away to choice or decision. It helps to determine the most effective and alternative decision-decisions with net social benefits. On the other hand, Cost effectiveness is useful and applicable to policy makers or project managers in situations where the objectives and

benefits of a programme accomplishment are fixed and identical and the issue is only the determination of the least cost alternative with highest effectiveness.

To an analyst using this technique, the benefits are assumed, and the search is for the lower cost, but maximally effective alternative to attaining the benefits. Cost effectiveness requires a clear statement of objectives and output. It requires the comparison of alternatives in relation to alternative objectives. The alternative that achieves most at the same cost is preferred. Critics have observed that both tools of analysis have certain limitations which make them inadequate as tools of analysis and they include critical problem of either approach is that of estimating what are the causal relationships operative in the problem under analysis. In examining alternative programs, the analysis will be required to make some assumptions about causation in order to proceed. Some reliance can be placed upon earlier experiences or evaluation of existing programs of similar character.

Moreover, there is the issue of what gets counted as a cost and a benefit. Determining the financial costs of existing programs is often difficult, because accounting systems are designed to produce information by organizational unit and not by program as specified in program structures. Even, when this matter is resolved, all that is produced are the direct financial costs to government. Indeed, a standard criticism of economic analysis is that it tends to consider only the costs to government and not the costs imposed upon others. Failure to consider all costs tends to weight the analysis in favour of the proposed project under review.

## **6.0 TUTOR-MARKED ASSIGNMENTS (TMAs)**

1. Discuss Cost Benefit Analysis
2. Itemise and discuss the limitations of CBA
3. Compare Cost-Effectiveness Analysis and Cost-Effectiveness Analysis

## **7.0 REFERENCES/FURTHER READING**

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## **UNIT 5: POLICY ANALYSIS CONSTRAINTS**

### **CONTENTS**

- 1.0 Introduction
- 2.0 Objectives
- 3.0 Main Contents
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  - 3.5 Expectation from the Society
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- 5.0 Summary
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### **1.0 INTRODUCTION**

Policy analysis simply put is the study of the causes, processes, formulation, implementation and consequences of public policy. It involves the description and explanation of particular policy choices and contents; determination of strategies for optimal policy-making, performance, implementation and impact of public policies. It uses collected data to systematically explain, describe and prescribe policies with the aid of certain social science methods, theories and approaches. However, almost all participants in policy formulation have stakes in the configuration that policy takes. This creates problem to policy analysts. In this unit, we shall examine the constraints faced by the analyst in the course of decision-making.

### **2.0 OBJECTIVES**

At the end of this unit, students would be able to:

- Understand the constraint of politics on public policy analysis;
- Understand the constraint of budget in policy analysis;
- Appreciate institutional constraint in policy analysis;
- Explain the constraint values place on policy analysis;
- Understand what the society accept as good policy;

- Understand that multiple causes of a problem can hinder appropriate solutions to policy problems; and
- Understand that a costly solution to a social problem would affect the acceptability of a policy

## **1.0 MAIN CONTENT**

### **3.1 CONSTRAINTS OF POLITICS**

The activities of political leaders constrain policy analysis. Policy ideas are dropped because elected politicians and other appointees oppose them. The reaction of Senators, House of Representatives, the President and Presidential Advisers are anticipated as proposals are debated. Many ideas are discarded because specialists cannot conceive of any plausible circumstances which they could be approved by elected politicians and their appointees. Policy analysis suffers these political constraints when policy issues are being analyzed.

### **3.2 BUDGETARY CONSTRAINT**

Budgetary constraints also affect policy analysis. Expectations may always outpace the capabilities of government. Before any proposal is accepted and approved, decision-makers need to be convinced that it has the resources to do them. As observed by Kingdon (1984:145-6), “decision-maker need to be convinced that the budgetary cost of the programme is acceptable; that there is a reasonable chance that politicians will approve; that the public in its various facets both mass and activists will acquiesce”. There must, therefore, be sufficient funds to meet policy expectations, failure which policy analysis suffers.

### **3.3 INSTITUTIONAL CONSTRAINT**

Policy analysts also face the problem of institutional acceptance on policy outcomes. Institutional characteristics limit what can or will be done. Specifically, an agency accustomed to doing things in a particular way cannot innovate very often. Rather, it looks for an effort to integrate new demands into existing patterns of doing business.

### **3.4 VALUES**

Though, objectivity is relative as many analysts believe that policy analysis is not value-free since value judgment also influences how they record or present information. Nonetheless, policy analysts are more objective than programme administrators as analysts often

recommend alternatives, review consequences before arriving at policy conclusion, whereas the bureaucrats are national maximizers of self-interests (Down, 1967, Niskanen, 1971). In relative terms, policy analysts are more objective where there is no conflict of interests. Policy analysis cannot provide solutions to problems when there is no general consensus on what the problems are. It is incapable of resolving societal value conflicts. At best, it can offer advice on how to accomplish a certain set of end values. It cannot determine what those end values should be. Furthermore, social science research cannot be value-free. Besides, it is difficult for the government to cure all or even most of the maladies of the society. They are constrained by certain values in the society, such as: religious beliefs, diversity in culture and languages. These cannot easily be managed by the government.

### **3.5 ANTICIPATION OF ACQUIESCENCE BY SOCIETY**

Anticipation of acquiescence within a community is another constraint to policy analysis. Specialists in policy community know that ultimately their proposals must be acceptable to the public reaction as they design their proposals. The public possible negative reaction to policy proposals acts as a constraint to policy analysis.

### **3.6 MULTIPLE CAUSES OF A PROBLEM**

There are also certain societal problems which may have multiple causes and a specific policy may not be able to eradicate the problem. There are policies that solve the problems of one group in society which create problems for other groups. In a plural society one person's solution may be another person's problem. This is a constraint to many policy proposals and such policy analysis proposal to solve such societal problem becomes an uphill task.

### **3.7 COSTLY SOLUTIONS**

Policy analysis also faces the constraint of solutions to some problem being more costly. For instance, certain levels of public disorder including riots, civil disturbances and occasional violence cannot be eradicated without the adoption of very regressive policies which would prove too costly to democratic values, freedom of speech and press; rights of assembly; freedom to form opposition parties. Thus, a certain level of disorder may be the price to pay for democracy. All these act as constraints to policy analysis.

### **3.8 UNCERTAINTY**

As future is always uncertain, it is questionable whether policy analysis can find solutions to the problems regarding the future of society. Poverty, unemployment, inequality, and environmental pollution are some of the major problems in the society. Of course, this is an excuse for failing to strive for a better society. It must be realized that solutions to these problems may be difficult to find. There are several reasons for tempering our enthusiasm for policy analysis.

### **3.9 LACK OF COMMUNICATION**

It has been observed that policy analyses are gathering dust because they are either too long or too hard to understand. A policy analysis is of no use if it cannot be communicated to others. Too often, the policy analysis deals with subjective topics and must rely upon the interpretation of results. Professional researchers often interpret the results of their analyses differently. Obviously, quite different policy recommendations can come out from these alternative interpretations of the results of research.

### **SELF-ASSESSMENT EXERCISE**

Describe how budgetary constraint affects public policy analysis

### **4.0 CONCLUSION**

In this unit, we have been able to examine the constraints of policy analysis. Public policy analysis faces various problems, such as: politics, budget, institution, values and expectation of members of the society. In spite of the constraints, it seems safe to say that social scientists can at least attempt to measure the impact of present and past public policies and make this knowledge available to policy-makers. Reason, knowledge and scientific analysis are always better than the absence of any knowledge. Lineberry (1977:135) notes that “policy analysis rests on the assumption that information is better than no information, and that right questions are better than no questions asked, even when the answers may not be definitive”.

Policy analysis may not provide solutions to society’s ills, but it is still an appropriate tool in approaching policy questions. Policy analysis enables us to describe and explain the causes and consequences of public policy. Policy analysis is applied to inform the policy-maker

about the likely future consequences of choosing various alternatives. Policy analysis guides decision-makers in making optimum choices and outcomes among discrete alternatives.

## **5.0 SUMMARY**

Policy analysis is limited in solving so many societal problems. Political consideration and self-interests conflict with objective formulation, selection and evaluation of public policy. The political system is not often structured for completely rational decision-making. The solution of societal problems generally implies a rational model, but government may not be capable of formulating policy in a rational fashion. Instead, the political system may reflect group interests, elite preferences, institutional forces or incremental changes more than rationalism.

Moreover, expectations of members of the society may be more than the capabilities of governments leading to budgetary constraints. Progress in any policy area may simply result in an upward movement in expectations about what policy should accomplish. Policies that solve the problems of one group in society may create problems for other groups. Finally, the solutions to some problems may require policies that are more costly than the problem. In spite of these problems and constraints of policy analysis, policy analysis is a useful tool that guides policy-makers in making optimum choices and outcomes among discrete alternatives.

## **6.0 TUTOR-MARKED ASSIGNMENTS (TMAs)**

1. Describe the problems policy analysts face in developing effective policy?
2. Discuss whether policy analysts could be value-free in their analyses.

## **7.0 REFERENCES/FURTHER READING**

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