

NATIONAL OPEN UNIVERSITY OF NIGERIA  
FACULTY OF MANAGEMENT SCIENCES

**Course Guide**

Course Code: PAD 405

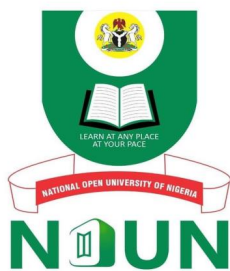
Course Title: Public Policy Analysis

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### **Introduction**

Public Policy Analysis is a 3-credit course for the undergraduate students in Public Administration Programme. The course material has been designed to suit students in public administration at the National Open University of Nigeria (NOUN) by adopting an approach that highlights the vital areas of public policy analysis. This material is made up of twenty-five (25) units, structured under five (5) modules covering the study of public policy, dynamics of public policy formulation, implementation and evaluation. Each module is made up of five units. The course guide tells you briefly what the course is all about and the course materials you need to consult.

All the units are equally relevant and none will be skipped so that there will be a logical graduation from one unit to another. This will help you digest and recalled all the lessons in each unit.

### **Course Guide**

This course guide tells you briefly what the course entails and what course materials you will be making use of. Consequently, it also suggests some general guidelines for the amount of time you are likely to spend on each study unit for a successful completion.

This course guide provides you with self-assessment exercises which will be made available in the units. There will be regular tutorial classes that are related to this course. It is advisable you attend all tutorial sessions. In order words, you are expected to make the best out of this course by reading through all its contents, paying attention to learning outcomes of each unit and attempting all the self-assessment exercises for you to be able to come in a fly colour. This course material is your tool to achieve the desire result.

### **Measurable Learning Outcomes**

By the end of this course, you will be able to understand the basic concepts in public policy; nature and scope of public; policy policy- making process and decision-making processes. You will also analyze the dynamics of Public Policy Process, Policy and Decision-Making Theories/models; you will also understand the Concept and Strategies of Planning, Phases in Public Policy Analysis as well as Planning in Third World Countries. You will also learn Public Policy Process and the Environment.

## Self-Assessment Exercises

In your Self-Assessment Exercises, you will find all the details of the works you must do for submission. The marks you score for these SAEs count towards the final marks you obtained for this course. There are two (2) SAEs for each unit in this course, with each unit having at least one SAEs. These SAEs are systematically meant to guide you in order to understand the course in detail.

## Summary

Essentially, for you to be able to achieve this course, you are expected to go through the course materials in detail, read and digest all the units and other relevant materials provided for you by National Open University. Each unit contains Self-Assessment Exercise, which will be marked by assessors appointed by the NOUN. Remember, all areas of this course contribute to your total success. So, take your time to go through them, read, and study them sufficiently in order for you to come out with fly colour.

## Course Materials

As earlier stated in this course guide, this course material is divided into 5 modules made up of 25 units. The course units are as follow:

## CONTENTS

### **Module 1    Fundamentals of Public Policy Analysis**

- Unit 1        Basic Concepts in Public Policy
- Unit 2        Nature and Scope of Public Policy
- Unit 3        Typologies of Public Policy
- Unit 4        Public Policy and Social Sciences: The Nexus
- Unit 5        Uses and process of public policy

### **Module 2    Public Policy Environments**

- Unit 1        Actors in Public Policy Process
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- Unit 3        Policy making cycle
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### **Module 3    Key Elements, Policy and Decision-Making theories**

- Unit 1        Tools of Policy-Making Analysis
- Unit 2        Ecology of Public Policy Analysis
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- Unit 1        Concept and Strategies of Planning

- Unit 2        Phases in Public Policy Analysis
- Unit 3        Planning, Programming and Budgeting System
- Unit 4        Networking in Public Policy Analysis
- Unit 5        Planning in Third World Countries

**Module 5    Public Policy Techniques and Evaluation**

- Unit 1        Techniques in Public Policy Analysis
- Unit 2        Determinants of Policy Success or Failure
- Unit 3        Dynamics of Policy Formulation, Implementation and Evaluation
- Unit 4        Budget and public policy
- Unit 5        Assessment of few public policies

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

Unit 1	Basic Concepts in Public Policy
Unit 2	Nature and Scope of Public Policy
Unit 3	Typologies of Public Policy
Unit 4	Public Policy and Social Sciences: The Nexus
Unit 5	Uses and process of Public Policy

### **UNIT 1 BASIC CONCEPT IN PUBLIC POLICY**

#### **Unit Structure**

- 1.1 Introduction
- 1.2 Learning Outcomes
- 1.3 Concept of Public Policy
  - 1.3.1 Public Interest
- 1.4 Public Policy Analysis
- 1.5 Summary
- 1.6 Reference/Further Reading/Web Resources
- 1.7 Possible Answers to Self-Assessment Exercise(s) within the content



#### **1.1 Introduction**

This unit provides a general guide to the breadth of what we call ‘policy’. Policy is often associated simply with legislation and regulation, but in reality, it encompasses a wide variety of activities. It also gives insight to the basic concepts on Public Policy Analysis and the scholarly perceptions of the concept of Public Policy. Public policy analysis as a course of study that has its meaning entrenched in many concepts. This is why for the benefit of understanding; basic concepts are explained. These concepts are public policy, public interest as well as public policy analysis.

Furthermore, the lives of the citizens everywhere are formed by public policies, whether we are aware of them or not. The dream for improved life whiles its achievement rest on our own efforts. This will probable to contain public policies to aid the result of it. Public policy is a subject or field of inquiry which has a long past, though the current public policy analysis have a specific American and 20th century fragrance. The public policy seeds were sown in 1940s and made a significant influence on the government and academic organizations over these years. In the early1950s public policy has developed as academic search and from then it has been securing new measurements and is stressed tough to attain the position of a discipline in the area of Social science. As a study of „products“ of government, policy forms a significant. However, do we ever heard or come across the word policy? What is the definition of public interest? How do you describe public policy analysis? All these will be discuss in detail in this unit.



#### **1.2 Learning Outcomes**

At the end of this unit, student should be able to:

- i) Conceptualize policy
- ii) Define Public Policy
- iii) Explain the meaning of Public Interest
- iv) Describe Public Policy Analysis.



### **1.3 Meaning of Public Policy**

For us to understand what public policy is all about, it is pertinent to first look at the concept of ‘policy’.

#### **Policy**

The meaning of the term “policy” is varying like other concept of social science. Unluckily, the policy itself is somewhat which take diverse procedures. David Easton defined policy as the “output” of the political system, and public policy as the authoritative allocation of values for the whole society. The measures of this alteration in the methods of the accepted from other definitions progress by the scholars in this field.

Sapru (2011) defines public policy as, “A script adopted and pursued by the government”. Anderson stated, that policy be observed as “Purposive course of action followed by an actor or set of actors in dealing with a problem or matter of concern”.

According to Singhs, who stated about it as, “A policy is an attempt to define and structure a rational basis for action or inaction”. In present terminology a policy is broadly defined as a course of action or plan, a set of political purposes (Singhs, 2012).

Generally, a policy often comes in the form of general statements about priorities, written regulations or guidelines, procedures and/or standards to be achieved. At its simplest, policy refers to a distinct path of action which is suitable for the pursuit of desired goals within a particular context, directing the decision making of an organization or individual.

According to Sivaramakrishnan, policies are judgments giving way, unity and steadiness to the course of act for which the decision making body is accountable (Sivaramakrishnan, 2012). Sivaramakrishnan look policy as a proposed course of action of a person, group, or government within a given environment providing obstacles and opportunities with the policy was proposed to utilized and overcome in an effort to reach a goal or realize an objective or purpose.

It might well be sufficiently defined “policy” as a purposive development of act taken or accepted by those in power in chase of convinced goals or objectives. It must be added here that public policies are the policies accepted and executed by government bodies and officials. They are framed by what Easton appeals the “authorities” in a political system. Namely, “elders, paramount chiefs, executives, legislators, judges, administrators, councilors, monarchs, and the like”. He stated as, these are the persons who “engage in the daily affairs of a political system”, are “recognized by most members of the system as having the responsibility for these matters” and take action that are “accepted and binding

most of the time by most of the members so long as their act within the limit of their roles”.

Therefore, Public Policy is a purposive course of actions or inactions undertaken by an actor or set of actors in dealing with a particular problem or matter of concern (Anderson, 1995). Public Policy is a proposed course of action of a person, group or government within environment providing opportunities and obstacles which the policy was proposed to utilise and overcome in an effort to reach a goal or realise an objective or purpose (Carl J. Friedrich).

To Thomas R. Dye, Public Policy is whatever government chooses to do or not to do. Thus, Public Policy is a course of government action or inaction in response to public problems. It is associated with formally approved policy goals and means, as well as the regulations and practices that implement programmes.

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) 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.

Public policy is the principled guide to action taken by the administrative executive branches of the state with regard to a class of issues, in a manner consistent with law and institutional customs. The foundation of public policy is composed of national constitutional laws and regulations.

### **Public Policy Making**

Public policy making can be characterized as a dynamic, complex, and interactive system through which public problems are identified and countered by creating new public policy or by reforming existing public policy (John, 1998).

Emanating from the myriad definitions above is that the concept of public policy as a relatively stable, purposive course of action followed by government in dealing with some problem or matter of concern are the following points: First the definitions link policy to purposive or goal-oriented action rather than to random behaviour or chance occurrences because in modern political systems, Public policies do not just happen. They are designed 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.

### **Self-Assessment Exercises 1**

1. What is public policy?
2. Discuss two scenarios how conflicts often arise.

### **1.3.1 Meaning of Public Interest**

Public interest, according to the Random House Dictionary, is the welfare or well-being of the general public; commonwealth. It may be an appeal or relevance to the general populace. However, what is in the 'public interest' is incapable of precise definition as there is no single and immutable public interest. In some ways it is easier to make general statements about what is not in the public interest than what is in the public interest. The public interest refers to the "common well-being" or "general welfare". The public interest is central to policy debates, politics, democracy and the nature of government itself. While nearly everyone claims that aiding the common well-being or general welfare is positive, there is little, if any, consensus on what exactly constitutes the public interest. The public interest can mean different things or be applied in different ways in different circumstances. The kinds of conflicts that often arise are:

Where a decision would advance the interests of one group, sector or geographical division of the community at the expense of the interests of another. Such a decision can be in the public interest in certain circumstances. For example, granting resident parking permits near popular destinations may be in the public interest even though it inconveniences non-residents, because it helps to ensure residents are not overly inconvenienced by people visiting nearby areas.

Between two government organisations responsible for advancing different causes which both provide some benefit to the public. For example, it is likely that in many respects a body responsible for protecting the natural environment and a body responsible for harvesting forestry products have equally valid but conflicting views about the public interest. Where a decision requires a balancing of one public interest consideration over another; such as the public interest in providing access to government documents against the public interest in preserving the security of sensitive information (relating to law enforcement, for example). It would be true to say that what is in the public interest often depends on the particular circumstance, and each circumstance raises a range of considerations that often conflict. Sometimes conflicting public interest considerations need to be balanced.

Economist Lok Sang Ho defines the public interest as the "ex ante welfare of the representative individual" (Ho, 2011). Public interest has been considered as the core of "democratic theories of government" and often paired with two other concepts, "convenience" and "necessity" (Napoli, 2001), even though in the political sphere, it is used by many to justify a wide range of actions and proposals. However, it is often unclear (even to those using the term) what they mean by this, and there can be a natural suspicion that the phrase may be used as a smokescreen to garner support for something that is actually in the advocate's own interests.

Summarily, the concept of the 'public interest' has been described as referring to

considerations affecting the good order and functioning of the community and government affairs, for the well-being of citizens. The expression 'for the common good' is also used.

## **1.4 Public Policy Analysis**

Policy analysis is a technique used in public administration to enable civil servants to examine and evaluate the available options to implement the goals of elected officials. It has been defined as the process of "determining which of various policies will achieve a given set of goals in light of the relations between the policies and the goals" (Geva-May, & Leslie, 1999).

Policy analysis can be divided into two major fields:

Analysis of existing policy, which is analytical and descriptive i.e. it attempts to explain policies and their development. Analysis for new policy, which is prescriptive i.e., it is involved with formulating policies and proposals. For example: to improve social welfare (Bührs & Bartlett, 1993). The areas of interest and the purpose of analysis determine what types of analysis are conducted. A combination of two kinds of policy analyses together with programme evaluation would be defined as policy studies (Hambrick, et al. 1998). As a technique to examine and evaluate the available options to implement the goals of elected officials, public policy is used in the analysis of existing policy, which is analytical and descriptive i.e., it attempts to explain policies and their development.

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. Public policy analysis can be conceptualised 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 policymaking. 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.

## **Self-Assessment Exercise 2**

1. Describe the objectives of public policy analysis.



## **1.5 Summary**

The unit discussed the basic and critical concept in public policy. The essence of this unit is to enhance your understanding of public policy analysis.



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## 1.8 Possible Answers SAEs

### Answers to SAEs 1

1. Public Policy is a purposive course of actions or inactions undertaken by an actor or set of actors in dealing with a particular problem or matter of concern.
2. Conflicts often arise in the following ways:
  - a. Where a decision would advance the interests of one group, sector or geographical division of the community at the expense of the interests of another.
  - b. Between two government organisations responsible for advancing different causes which both provide some benefit to the public.

### Answers to SAEs 2

1. Public policy analysis is aimed at improving the basis for public policy making;
2. it improves the basis of policy-making and
3. generate relevant information needed to resolve social problems.

## UNIT 2: NATURE AND SCOPE OF PUBLIC POLICY

### Unit Structure

- 2.1 Introduction
- 2.2 Learning Outcomes
- 2.3 Nature and Scope of Public Policy
- 2.4 Importance of Public Policy
- 2.5 Summary
- 2.6 Reference/Further Reading/Web Resources
- 2.7 Possible Answers to Self-Assessment Exercise(s) within the content



### 2.1 Introduction

In unit one we were able to discuss public interest, public policy analysis and as well as the concept of policy. However, 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, defense, 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 nature, scope and importance of Public Policy Analysis. Consequently, do you know the nature of public policy? What is the scope of public policy? Who can tell us the importance of public policy? We will look at them one after the other.



### 2.2 Learning Outcomes

As a student of public policy analysis, you shall be able to learn the following at the end of this unit:

- i) Discuss the nature of public policy
- ii) Explain the scope of public policy
- iii) Identify some the importance of public policy



### 2.3 Nature of Public Policy

It is very much evident that policy might take different procedures like legislation, executive orders or the official acts. They actually comprise of a set of intentions or objectives a combination of devices or means for attainment of intentions, a description of governmental or non-governmental units indicted with the accountability of transporting out the intentions, and distribution of resources for the necessary tasks. To recognize public policy, it is very much needed to examine the nature. A policy may contain with specific or general, broad or narrow, simple or complex, public or private

written or unwritten explicit or implicit, discretionary or detailed and quantitative or qualitative. Public policy is in fact a skill because these tasks regularly some information about the social sciences and in this case the stress is on the public policy which is known as “government policy”, selected by a government as a „direction for action. From the perspective of public policies, actions of government could be put broadly into two groups and they are:

1. Definite or Specific policies and
2. General, vague and inconsistent policies.

In reality a government rarely will have a fixed of supervisory values for all its actions and in fact the significant public policies are frequently made more clear specifically where the issue of law, regulation or strategy is involved. The Supreme Court can give its decisions, by new interpretations to some of the articles of the Constitution which can be develop into new policy.

These policies may be too unclear or too broad and may not be reliable to each other, in turbulent atmospheres like the current ones government has to make regular actions without reference to any particular policy, sometimes government announces some sort of policy for political convenience or for some reasons, in such cases, government will not have any intention to carry it successfully. Hence, it is likely to have a policy without action or it can have action without policy. Public policies alive only in set of practices and precedents. The public policies are embodied only in an unwritten Constitution of United Kingdom is the best instance of this form of a public policy.

Public policy contains major segment of actions, like, development policy, economic growth, socio-economic growth, equality, social justice, or any other such policy may be accepted by national policy.

### **Narrow Nature of Public Policies**

Hence, it can be observed a single policy in various written documents, it may be narrow, covering a particular action, like family planning which is reserved to certain division of the people or it can be for extensive range of the people in the country, for instance, government can accept that, no child is adult unless he attains the age of 16 years (recent amendment).

### **Broad or Mega Nature Policy of Public Policies**

Public policy is an area commonly defined by policy areas like health, education, housing, economic, environment, transport and social and it is mostly set that interdisciplinary and intergovernmental relations taking place. These policies can be developed either by the central government or state government, or sometimes “mega policies” act as a kind of master policy. This word mega policy is coined by Yehezkel Dror. The broad policies which are an expression of national aims are the instances for the mega policies, eg. Economic growth, social justice etc.

It is very much important to understand the nature of the policy means, it must contain an objective, an aim or a goal, or a purpose because a policy is a guidance for action. In fact all the mega policies are purposive and are object oriented but it is conceivable that a government can have policy without any recognizable objectives or purpose. It can

accept any policy without any particular goals. The significant regarding the goals and objectives is that, while studying the policies of government collective as a total, the multidimensional nature of goals and objectives, as well as the presence of several irregularities and even ambiguities becomes observable. Government can accept vague, inconsistent or even contradictory policies so that to gratify all the pressure groups and political parties.

The public policy can be a positive or negative one, in its positive form, it can contain some system of evident government activity to treat a specific problem. Whereas, in the negative form, it might contain a decision by a public servant not to take action on some sort of matter on which the government action is required. These policies sometimes will have legally coercive so that people can adopt it legally for instance all the people will pay the taxes in order to stay away from the fines. These public policies makes public organizations different from private organizations.

### **Self-Assessment Exercises 1**

1. Identify the policy areas through which government operates.
2. Explain the scope of public policy analysis.

### **2.3.1 Scope of the Public Policy**

It is a noteworthy discipline examination and practice, meanwhile, the appearance of public policy as a field of investigation, it has extended in theoretical scope and application. 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 is 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.

Public policy stress on the problems of the public, according to Heidenheimer, the public policy is the study of “how, why and what effect governments pursue particular courses of action and inaction”. Dye, stated about it as, “what government do, why they do it, and what difference it makes”.

According to Lasswell, policy orientation is multi method, multi-disciplinary, problem which emphasizes worried to plan the context of the policy procedure.

## **2.4 Importance of Public Policy**

It is evident that the public policy is the significant factor in the democratic government and it emphasizes on the public and its problems, in fact it is a discipline which is branded as public. The concept of public policy assumes that there is an area of life which is totally individual but said in public. Likewise, public policies have a significant purposes to work in the society where the democracy is prevails. The important role of the public policy is to make the society to lead a better life and to maintain the delivery of the goods and services are significant, it is regarded as the mechanism for developing economic-social system, a procedure for determining the future and so on.

### **Self-Assessment Exercise 2**

1. Discuss the vital societal role of public policy

## **2.5 Summary**

From this unit, a careful examination of public policy aids us in determining the social ills of the matter under the examination. Policies do more than effect alteration in the situations of the society, they bring the people together to follow the uniformity in the state. These public policies are the main devices for any democratic nation and they improve the social and economic procedures from the present of the future. Hence, the examination of the public policy has become a significant element of the academic society as well.

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- Sivaramakrishnan, A. (2012). *Public Policy and Citizenship, Battling managerialism in India*, Sage publications, New Delhi.

## **2.7 Possible Answers to Self-Assessment Exercise(s) within the content**

### **Answers to SAEs 1**

1. Government policy areas:
  - i) Definite or Specific policies
  - ii) General, vague and inconsistent policies
2. Scope of public policy analysis are as follows:
  - a. It involves policy research and analysis and is directed at better policy-making. Generally, it involves marshalling techniques, models, policy choices and strategies.
  - b. Policy analysis involves impact evaluation research. This research is aimed 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.

### **Answers to SAEs 2**

1. The important role of the public policy is to make the society to lead a better life and to maintain the delivery of the goods and services are significant, it is regarded as the mechanism for developing economic-social system, a procedure for determining the future and so on.

## UNIT 3 TYPOLOGIES OF PUBLIC POLICY

### Unit Structure

- 3.1 Introduction
- 3.2 Learning Outcomes
- 3.3 Classification and Types of Policy
  - 3.3.1 Policy Types
- 3.4 Basic Terminologies in Public Policy Analysis
- 3.5 Summary
- 3.6 Reference/Further Reading/Web Resources
- 3.7 Possible Answers to Self-Assessment Exercise(s) within the content



### 3.1 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 policy types and terminologies.

Here, we look at the typologies of public analysis. However, what are the categories of public policies, how do you identify policy types, and what are the different terminologies of policy analysis?



### 3.2 Learning Outcomes

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

- i) Categories of public policies
- ii) Identify Policy types, and
- iii) Understand different terminologies used in policy analysis.



### 3.3 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.

### **i) 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.

### **ii) 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.

### **Self-Assessment Exercises 1**

1. What do you understand by Substantive policies?
2. Identify and explain two types of policy.

### **3.3.1 Types of Policy**

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.

#### **i. 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.

## **ii. 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 there allocation 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 re-distributive policy is graduated income tax or taxing the wealthy to allocate resources to the poor.

## **iii. 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.

## **iv. 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.

## **v. 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 (Olaniyi, 2008).

### 3.4 Basic Terminologies in Public Policy Analysis

Certain basic terminologies are constantly used in public policy discourse. They simplify our understanding of the public policy process and make conversations on public policy issues more direct. Some of these terminologies are:

- (1) **Policy Demands:** These are usually the values, interests, benefits and claims people make upon policymakers in the policy process for action or inaction in order to solve perceived social problems. This is in line with Chandler and Plano's (2010) position that public policy is the strategic use of resources to alleviate national problems or government concerns. Importantly, public policies respond to the need to satisfy policy demands and go into policy formulation processes as inputs.
- (2) **Policy Decisions:** The import of policy decisions is to give authoritative direction to policy actions. Policy demand can only receive action for implementation when public officials/policy-makers have given authoritative approval to its contents and direction. Policy decisions include the decisions to enact statutes, make judicial interpretation of laws on conflicting matters, issue executive orders, issue administrative rules, and so on.
- (3) **Policy Statements:** These are generally explained as the official or formal expression of public policy by institutions of government, including legislative statutes, presidential orders, decrees, regulations and administrative rules. They also include speeches made by public officials indicating the position of government on a particular policy issue as well as when and how it will be achieved. Policy statements are often laced with ambiguity arising from the conflicting interests and competency of public officials making such statements.
- (4) **Policy Outputs:** These are described as the concrete, measurable and identifiable manifestation of public policies with regard to what government has actually done in pursuit of policy decisions and policy statements. A policy is simply what government has actually done as against what it proposes to do. For instance, the number of roads constructed by government as distinct from the number projected, the number of schools built by government as distinct from the number proposed, etc (Easton, 1965a).
- (5) **Policy Outcomes:** These are the overall manifestation of public policies in terms of the goals set for attainment. This manifestation could be intended or unintended consequences of policy for the society where the policy is implemented and this could be as a result of the action or inaction of government. Policy outcomes involve appraising whether public policies achieve their set goals in terms of the successes recorded.

- (6) **Policy Studies:** In simple terms, policy studies entail the analysis of the policy process with emphasis on policy formulation. They could be normative or analytical. A policy environment is normative when it critically studies how policy is made and how the processes could be improved. It is therefore the study of the interdisciplinary nature of public policy: politics, economic, operational research, organisational theory and public administration. It is analytical when it deals with developing the models and explanation of the policy process.
- (7) **Policy Science:** This is the method of investigating the policy process with the view to making the study of decision-making process scientific. It is particularly a problem-solving approach that cuts across many disciplines to deal with the most important social decisions.
- (8) **Policy Environment:** This is referred to as the prevailing circumstances, situations and factors that constantly shape and reshape policy orientation, formation and implementation. They comprises factors external to public policies.
- (9) **Policy Advocacy:** Advocacy is concerned with the activities of government designed to draw support and promote a particular policy through several means, including discussion, persuasion, and political activism. It is also a means of creating awareness and sensitising the public on the orientation and contents of a policy.

## Self-Assessment Exercise 2

1. Explain the following policy terminologies.
  - i) Policy output
  - ii) Policy outcomes



## 3.5 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. The various terminologies such as policy demand, policy decisions, policy statement, policy output, among others give the

reader a sense of direction and understanding.



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### 3.7 Possible Answers to SAEs

#### Answers to SAEs 1

1. **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.
2. **Types of policy (TWO ONLY)**
  - (i) **Distributive**: 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.
  - (ii) **Regulatory**: 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 their allocation of money, rights, or power.
  - (iii) **Redistributive**: 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.

- (iv) **Constituent policy issues:** 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.
- (v) **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.

### **Answers to SAEs 2**

3. (i) **Policy Outputs:** These are described as the concrete, measurable and identifiable manifestation of public policies with regard to what government has actually done in pursuit of policy decisions and policy statements.

(ii) **Policy Outcomes:** Policy outcomes involve appraising whether public policies achieve their set goals in terms of the successes recorded.

## **UNIT 4      PUBLIC POLICY AND SOCIAL SCIENCES NEXUS AND KEY ELEMENTS IN PUBLIC POLICY**

### **Unit Structure**

- 4.1 Introduction
- 4.2 Learning Outcomes
- 4.3 Relationship between Social Science and Public Analysis
  - 4.3.1 The Relationship between Politics and Policy Analysis
  - 4.3.2 The Relationship Between Public Administration and Policy Analysis
- 4.4 Basic Terminologies of Policy Analysis
  - 4.4.1 Policy Demands
  - 4.4.2 Policy Statements
  - 4.4.3 Policy Outcomes
    - 4.4.3.1 Policy Studies
    - 4.4.3.2 Policy Outputs
- 4.5 Summary
- 4.6 Reference/Further Reading/Web Resources
- 4.7 Possible Answers to Self-Assessment Exercise(s) within the content



### **4.1 Introduction**

In unit three, we discuss type of policy, categories of public policy and the terminologies. Here, 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 technically needed to solve social problems. In this unit, we shall examine the relationship between Social Science, political Science and public Administration. On the other hand, the understanding of public policy analysis requires basic knowledge of some relevant terminologies. This will enhance student analytical strength and boost their moral in the classification of policy process and decision making. Those terminologies are constantly used in the public policy discourse. In essence, the terminologies simplify our understanding of public policy analysis. Let discuss, analyse, and demonstrate them. How do you differential between social sconces and public policy? What is the relationship between politics and public policy?



### **4.2 Learning Outcomes**

By the end of this unit, you will be able to

- i) Discuss the relationship between Social Science and Public Policy
- ii) Analysis the relationship between politics and public policy
- iii) Demonstrate the relationship between Public Administration and Public Policy
- iv) Evaluate the underlying terminologies in public policy analysis;
- v) Identify the relevance of those terminologies to policy analysis



### **4.3 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 advice on the likely consequences of alternative policies. Social science seeks to maximize internal logical consistency and empirical rigor, 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) sees a considerable, but indirect role for social scientists in "changing the climate of ideas about how a policy problem is viewed".

However, 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 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.

### **Self-Assessment Exercises 1**

1. What is the relationship between public administration and policy analysis?
2. Explain what policy statement is all about?

#### **4.3.1 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 behaviour 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.

#### **4.3.2 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.

#### **4.4 Basic Terminologies of Policy Analysis**

The terminologies in policy analysis require better understanding for us to be versatile with the nature and dynamics of policy analysis and decision making process. The terminologies are policy demands, policy decisions, policy statement, policy output, policy outcomes, policy studies and policy science.

##### **4.4.1 Policy Demands**

In Public policy analysis, demands often emanate from the populace based on their interests on areas they want policy makers to look into. These demands are request that can guide decision making process by the key actors in policy formulation. Basically, policy demands are usually the values, claims and interests from the people for policy actions or inactions in order to solve specific social problem. This conforms to the argument of Chandler and Plano's (1988) view that public policy is the strategic allocation of resources to alleviate national problems or government concerns. The important clause of policy demand is that responses from policy makers should be designed to meet the yearnings and demands of the people. Invariably, public policies should respond to the need of the people that demand for satisfactory policy response from the policy formulators. The demands represent the input from the people.

**Policy Decisions:** Policy demands need to be transformed for authoritative decision. This policy taken by the authority represents policy decisions that imply government direction. The import of policy decisions is to give authoritative direction to policy actions. Policy demand can only receive action for implementation when public officials/policy-makers has given authoritative approval to its contents and direction. Policy decisions include the decisions to enact statutes, make judicial interpretation of laws on conflicting matters, issue executive orders, issue administrative rules, and so on.

**Policy Targeted Population:** This indicates the main beneficiaries of a policy. Not all government policies are beneficial to everybody and such is the essence of understanding the people specific policy is targeted at. For instance, the immunization policy is usually targeted at children and they remain the targeted population as far as the policy is concerned. In public policy analysis, we need to understand what informs some policies and who the real targeted audiences to benefit from it.

#### **4.4.2 Policy Statements**

Generally, the official or formal expression of public policy by institutions of government, including legislative statutes, presidential orders, decrees, regulations and administrative rules fall under policy statement. Policy statement is largely associated with a democratic government to carry the people along. This view is supported by Dye (1978) in his assertion that policy statement indicates the measures that would be put in place by the authority for improvement of citizens' life. Put differently, policy statements also include speeches made by public officials indicating the position of government on a particular issue as well as when and how it will be achieved. Policy statements are often laced with ambiguity arising from the conflicting interests and competency of public officials making such statements.

#### **4.4.3 Policy Outcomes**

The overall manifestation of public policies with particular reference for the attainment of goals is critical to policy outcome. This could be intended or unintended consequences of policy for the society where the policy is implemented and this could be as a result of the action or inaction of government. Policy outcomes involve appraising whether public policies achieve their set goals in terms of the successes recorded. This can also be referred to as policy evaluation. It indicates the perception and assessment of the government policy by the beneficiaries or the general populace.

##### **4.4.3.1 Policy Studies**

In simple terms, this entails the analysis of the policy process by placing emphasis on the policy formulation. They could be normative or analytical. A policy environment is normative when it critically studies how policy is made and how the processes could be improved. It is therefore the study of the interdisciplinary nature of public policy: politics, economic, operational research, organisational theory and public administration. It is analytical when it deals with developing the models and explanation of the policy process specific target of people.

**Policy Science:** This is the method of investigating the policy process with the view to making the study of decision-making process scientific. It is particularly a problem-solving approach that cuts across many disciplines to deal with the most important social decisions.

##### **4.4.3.2 Policy Outputs**

This is simply the manifestation of public policy in accordance with the actual government execution of policies. It is a stage of realistic based on the policy statement. Also, policy outputs are described as the concrete, sure able and identifiable projects or policies implemented by the government. A policy is simply what government has actually done as against what it proposes to do. For instance, the number of roads constructed by government as distinct from the number projected the number of schools

built by government as distinct from the number proposed, etc.

## Self-Assessment Exercise 2

1. Discuss the relationship between social science and public analysis.



### 4.5 Summary

Policy is the bedrock of any nation and for the country to grow and successfully transform they must be a good policy. Formulation of a good policy and implementation will bring about development therefore, there is need to look outside other discipline in terms of their relationship how administration and social science are interrelated, interconnected with one another. These are key to policy analysis. Furthermore, every discipline has their technical terminologies, the understanding of those terminologies is vital in making valid analysis of any public policy. The terms make a better clarification of relevant keywords in the public policy analysis. This will expose students to have better outlook on different government policies and major factors of government actions and inactions.



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## **4.7 Possible Answers to SAEs**

### **Answer to SAEs 1**

**1. 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.

**2. Meaning of policy statement: Is the official or formal expression of public policy by institutions of government, including legislative statutes, presidential orders, decrees, regulations and administrative rules fall under policy statement. Policy statement is largely associated with a democratic government to carry the people along**

### **Answer to SAEs 2**

**1. Relationship between social science and public analysis:**

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 advice on the likely consequences of alternative policies. Social science seeks to maximize internal logical consistency and empirical rigor, 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

## **UNIT 5      USES AND PROCESS OF POLICY MAKING**

### **Unit Structure**

- 5.1 Introduction
- 5.2 Learning Outcomes
- 5. Uses of Public Policy Analysis
  - 5.3.1 Policy-Making Processes
- 5.4 Challenges of policy making process
- 5.5 Summary
- 5.6 Reference/Further Reading/Web Resources
- 5.7 Possible Answers to Self-Assessment Exercise(s) within the content



### **5.1 Introduction**

Public Policy Analysis can be said to drive its importance and relevance in its contribution to the determination, study and assessment of public problems; policy making, policy performance, impact evaluation, policy prediction and advocacy, policy forecast, prediction and anticipation. Public policies have classified on the basis of several criteria. This unit discusses uses and types of public policies. Also, details of the stages of policy making like agenda setting, policy formulation and adoption, implementation, evaluation and termination or reformulation are given are also embedded in this unit.



### **5.2 Learning Outcomes**

At the end of this unit, you should be able to:

- i) understand uses of public policies
- ii) explain the stages in the policy making process



### **5.3 Uses of Public Policy Analysis**

Public Policy Analysis is a systematic activity and process, which involves the determination and delineation of pertinent public problems and issues. The following are uses of Public Policy Analysis.

- i. It involves the ascertaining of public problems;
- ii. It is the definition of public problems in precise and perhaps quantifiable terms;
- iii. Public Policy Analysis is the study of such problems and issues;
- iv. It is in the monitoring of such problems through the provision of statistical and other information on the state of problems; and
- v. Policy analysis provides a base for determine strategies for the resolution of public problems (Ikelegbe, 1996:8).

Therefore, policy analysis is a problem solving discipline; which encompasses methods, techniques and more precisely, a scientific approach to public problem resolution. (Dye: 1978:3)

### **Self-Assessment Exercises 1**

1. Identify three uses of Public Policy Analysis
2. What is policy implementation

### **5.3.1 Policy-Making Process**

There are several stages in the establishment and carrying out of a policy by the government. These include agenda building, formulation, adoption, implementation, evaluation and termination.

#### **5.3.1.1 Policy Initiation/ Agenda Building**

In order to create a policy, the government's attention has to be focused on a pressing problem requiring legislation. For instance, rivers and streams periodically overflow causing great loss to property and life. Further, winds and rains erode the land and rob it of its fertility. A social demand then arises for taking some action regarding the control and development of river valleys, and the conservation of natural resources. Thus, the legitimate public business comprises the agenda of the state. Again, for example, strife between labour and management may disrupt essential services or raise the cost of living. People may then demand the establishment of social machinery for preventing costly work stoppages and for promoting harmonious labour management relations. In modern times, juvenile delinquency shows a tendency to increase. Hence people look out for ways of diverting the energies of the youth into healthy and useful channels. The agenda of the state thus includes the things that government has to do in order to maintain a vital community. Thus, before a policy can be created, a problem must exist that is called to the attention of the government.

#### **5.3.1.2 Policy Formulation and Adoption**

Policy formulation involves adoption of an approach for solving a problem. In other coming up with an approach to solving a problem. There may be choice between a negative and a positive approach to a problem. The legislative branch, the executive branch and the courts may favour dependence on impersonal forces to correct momentary difficulties. However, interest groups may desire vigorous human interference with these forces to control persistent difficulties. Either of these approaches involving the formulation of policy. After a policy is formulated, a bill is presented to the National Assembly, or proposed rules are drafted by regulatory agencies. The adoption of a policy takes place only when legislation is passed, or regulations are finalized or a decision has been passed by the Supreme Court.

### **5.3.1.3 Policy Implementation**

Policy implementation is the process of translating policy mandates into action, prescription into results and goals into reality. It refers to the processes and reality. It refers to the processes and activities involved in the application, effectuation and administering of a policy. It is the actions taken to carryout accomplish and fulfill the intents, objectives and expected outcomes of public policies. It is the act and process of converting a policy into reality and of enforcing a policy (Pressman & Wildavsky, 1979). Meanwhile, the implementation process consists of the implementing organisation, the environment particularly the political and economic environment, the policy target group, the objectives and the enunciated method o implementation and policy resources.

The carrying out of policy or its implementation is usually done by other institutions than those that were responsible for its formulation and adoption. Many problems are technically so complex and difficult that the legislature does not try to deal with them in detail. The legislature thus indicates the broad lines of policy, and leaves the elaboration of the policy to other governmental agencies. The complexity of the policy, coordination between the agencies putting it into effect and compliance, determine how successfully the policy is implemented.

### **5.3.1.4 Evaluation and Termination**

After the implementation, stage, performance appraisal comes up which is done through evaluation. The essence is to know how well a policy is doing in relation to intended purposes, objectives target and intended accomplishments. It relates to whether intended services have been delivered, intended outcome or other desired and state is achieved, or whether the target problem or situation has experienced the desired changes. Performance answers the question of how the policy has fared in its interaction with the environment. The degree of achievement of the aforementioned aspects, determines the level of performance. Performance encompasses effectiveness and efficiency. Evaluation involves checking how well the policy is working out, which is definitely a difficult task. The cost-benefit analysis is used by people inside and outside government to determine whether government expenditure on a particular program, is justified by the benefits derived from it. Further, different or also contradictory interpretations may be obtained from the data that forms the basis of the cost -benefit analysis. History has shown that once implemented, policies are difficult to terminate. When they are terminated, it is usually because the policy became obsolete, clearly did not work, or lost its support among the interest groups and elected officials that placed it on the agenda in the first place.

## **5.4 Challenges of Policy Making Process**

In today's society, policy makers face many limitations in the policy-making process. The biggest limitation to date is the ever-increasing pluralistic values inherent in society. A pluralistic approach can be defined as "different groups... in society are divided by ideology, economic and cultural factors; all seeking to have their interests reflected in

public policy”. These competing interests from such groups as politicians, interest groups and the media play a big role in the outcomes of policy making (Ajulor, 2016).

To Bertsch (2008), other important factors in the limitations of policy-making include the short time horizon that politicians have to pass policy, as well as the unequal distribution of wealth; where the elite groups in society have the most financial. If politicians want to make a real difference in any policy area, they must first keep their position.

## Self-Assessment Exercises 2

1. Itemize Bertsch’s view on challenges of policy-making process.



### 5.5 Summary

Public policy is a set of objectives set by the government relating to the general health and welfare of the public and actions taken to accomplish it. The public policy process is the manner in which public policy is formed, implemented and evaluated. In this unit, we highlights the uses of public policy. In addition, students were also put through how policy established and carried out by the government goes through several stages from inception to conclusion. These are agenda building, formulation, adoption, implementation, evaluation, and termination



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## **5.7 Possible Answers to Self-Assessment Exercise(s) within the content Answers to SAEs 1**

1. Uses of public policy analysis (THREE ONLY):
  - i. It involves the ascertaining of public problems;
  - ii. It is the definition of public problems in precise and perhaps quantifiable terms;
  - iii. Public Policy Analysis is the study of such problems and issues;
  - iv. It is in the monitoring of such problems through the provision of statistical and other information on the state of problems; and
  - v. Policy analysis provides a base for determine strategies for the resolution of public problems
2. Meaning of Policy implementation: Is the process of translating policy mandates into action, prescription into results and goals into reality. It refers to the processes and reality. It refers to the processes and activities involved in the application, effectuation and administering of a policy. It is the actions taken to carryout accomplish and fulfill the intents, objectives and expected outcomes of public policies.

## **Answers to SAEs 2**

1. Bertsch's view on challenges of policy-making process:

To Bertsch, policy-making faces short time horizon that politicians have to pass policy, as well as the unequal distribution of wealth; where the elite groups in society have the most financial.

## **MODULE 2 PUBLIC POLICY ENVIRONMENT**

Unit 1	Actors in Public Policy Process
Unit 2	Decision making process
Unit 3	Policy making cycle
Unit 4	Bureaucracy and Public Policy Making
Unit 5	Impact of the Environment on Policy Making and Implementation

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

#### **Unit Structure**

- 1.1 Introduction
- 1.2 Learning Outcomes
- 1.3 Actors in Public Policy Process
- 1.4 Categories of Policy Makers
  - 1.4.1 Official Policy Makers
  - 1.4.2 Unofficial Policy Makers
- 1.5 Summary
- 1.6 Reference/Further Reading/Web Resources
- 1.7 Possible Answers to Self-Assessment Exercise(s) within the content



#### **1.1 Introduction**

Globally, societies are bedeviled by several issues. However, such issues span all areas of human endeavours. For instance, political, socio-economic, cultural, environmental, religious and security just to mention a few. Over the years, human beings, through their various governments, engage one major and potent instrument called “policy” to address and solve problems of societies and issues that are of public interest. Policy process is an intricate process involving certain actors in government including those outside government (who find relevance in the existence of government). These actors or participants are crucial and influential in the sub-processes of policy initiation, choices, formulation, implementation and evaluation. It is against this background that this course examined the crucial actors or participants involved in decision making and policy process.

However, what do you understand by the word decision making?

Did you hear the word actors in decision making?

Who are the actors in decision making?

What are the roles of actors of both classifications? This interactive question will guide us in the course of discussion.



## **1.2 Learning Outcomes**

At the end of this unit, students will be able to;

- i) Discuss difference type of actors in policy making process
- ii) Analyze the roles of actors of both classifications
- iii) Demonstrate differentiate the official and unofficial actors in public policy Process



## **1.3 Actors in Public Policy Process**

Anderson (1979) categorised the crucial actors in the policy-making process into two, namely official and unofficial policymakers. The two categories of participants are involved in one way or the other in the policy process, and they are crucial and influential in the sub-processes of policy initiation, choices, formulation, implementation and evaluation.

### **1.3.1 The Official Policy**

According to Anderson, (1979) the official policymakers are those who possess legal authority to engage in the formulation of public policy. Those involved in this category are the legislators, the executive, the administrators and the judiciary. Each of them performs policy-making responsibilities in a different way from the others. They are governmental actors who occupy formal public positions and political offices and serve as the actual policy makers. Official policymakers are in turn categorised by Anderson (1979) and Egonmwan (1991) into,

- (i) primary policymakers; and
- (ii) supplementary policymakers.

The primary policymakers are constitutionally empowered to engage in the formulation of policies. It is their constitutional assignment and responsibility. Consequently, they need not depend upon other governmental agencies or units or structures to perform their policy-making roles. In Nigeria, for example, they are members of the National Assembly (the Senate and the House of Representatives) and states' Houses of Assembly. In Nigeria's current democratic dispensation, other significant primary policymakers include the president, his aides, administrators and judges. They, as well, contribute as supplementary policymakers. The supplementary policymakers, expectedly, receive their authority to act in policy making process from the primary policymakers such as the National Assembly in Nigeria. They are expected to be responsive to the interests and requests of the National Assembly. Examples of supplementary policy makers are persons, agencies or bodies that need authority from others in order to act as they are dependent on, or are controlled by, others. They include ministries, departments and other governmental agencies that initiate policies and push for them. There are politicians in the policy-making process and these refer to all elected political office holders and those who occupy political posts/offices. They include the president (as the chief

executive), his political aides and advisers, legislators in the National Assembly (the Senate and the House of Representatives), and members of the states' Houses of Assembly.

### **1.3.2 The Official or Institutional Actors**

#### **1. The National Assembly and states' Houses of Assembly**

Legislators are members of parliaments, for example, the National Assembly and state assemblies in Nigeria. As indicated earlier, the legislators constitute the primary policymakers. They possess direct constitutional authority to initiate and formulate policies. As elected law makers, they represent their people from their various constituencies. Consequently, they are expected to collate the views, interests, demands and problems of their constituents, harmonise them and translate them into policy proposals for the legislature. Such policy proposals are subjected to the entire legislative processes of reading, debating and scrutiny (by the relevant standing committees). Policies formulated from such proposals are then forwarded for the president's assent. Formulated policies will set up policy programmes and required actions which the executive will then implement and evaluate. Legislators do not generate and develop policy proposals from their people only. They also develop draft policies from their fellow legislators and the executive. In reality today, legislators appear to have practically and largely abdicated their constitutional responsibility of policy making to the executive. Ikelegbe (2006) declared that legislators no longer exert considerable influence on the initiation and formulation of policies. They just (in most cases) mainly formalise and legitimise policies already formulated by the executive. They look up to the executive for legislative leadership. Certain factors are responsible for such abdication of responsibility in Nigeria.

1. Legislators are fragmented, not only along party lines, but also along ethnic and religious lines. Consequently, they lack the necessary cohesion to generate, initiate and formulate policies that will benefit the majority of citizens.
2. Many legislators lack the intellectual depth, professionalism, skills and technocracy needed to tackle the complex problems of modern-day societies and governance which the executive functionaries have.
3. Most legislators demonstrate flippancy. They have little understanding of the weight of their assignment. Basically, they are not well-positioned to meet the increasing need for expertise in governance.
4. The "executive – centred era" (as manifested in the possession and deployment of enormous resources and power by the executive) has put the legislators at a great disadvantage. They are easily tempted with cash or threatened with removal by the executive to do its bidding. It is important to state, however, that legislators are still active in the policy-making process in developed democratic dispensations and that they play significant policy roles in the presidential system of government. They are inactive or rendered redundant in authoritarian and totalitarian regimes.

## **The President and the Executive Bureaucracy**

Like National Assembly, the president is mandated by the Constitution as a partner in the policy process. But, unlike Congress, the president can only approve or disapprove legislation he or she has no power to amend. Thus, the policy priorities of the president cannot be directly legislated. Rather, presidents must rely on legislative partners in both houses, and on the power to persuade. The executive comprises the president, prime minister, premier or governor, (as the case may be), ministers, special advisers, special assistants, top political aides and the administrators. The main responsibility of the executive is to implement public policies and to supervise, coordinate and manage ministries, departments and agencies (MDAs) that are involved in the implementation of policies. But the executive in democratic dispensations, for example, the president in Nigeria plays a crucial and pivotal role in the policymaking process.

Indeed, he plays dominant roles in the initiation, formulation and implementation stages of the policy process. This era is referred to as an “executive-centred era,” in which the effectiveness of government depends substantially upon executive leadership both in policy formation and in policy execution. The Nigerian president’s authority to exercise legislative leadership is both clearly established and accepted as a necessity to the president (Omotoso, 2010). In this “executive-centred era”, the president and his chief aides and advisers in the presidency have become the major source of policy proposals initiation. It has become crystal clear that the president who gives executive leadership is also expected to provide legislative leadership. Egomwan (1991) cited the Babangida and Obasanjo administrations in which the two presidents made significant impact on policy issues. There were policy proposals on the Structural Adjustment Programme (SAP), privatisation programme, local government reform, new constitutions, and the Global System of Mobile Communication (GSM), to mention a few. Egomwan further observed that during the elected civilian government of the Second Republic headed by President Shehu Shagari, the National Assembly expected the president to present policy recommendations to it and provide it with draft bills containing his recommendations. The same expectation subsists till today.

All these confirm that the executive president is looked upon, not only for executive leadership, but also for legislative leadership. He plays dominant roles in the policy process that transcend mere implementation because of certain glaring factors. Firstly, the president (as the chief executive) parades an array of ministers, advisers, technocrats, professionals, skilled and experienced administrators on various policy issues ranging from political, social and economic matters to foreign and military relations. Secondly, the power of the executive has been constantly increasing because of the increasing complexity of policy problems which require a high degree of professionalism and specialized knowledge to tackle. Thirdly, the legislature, which is constitutionally empowered to formulate policies, largely appears to have abdicated that constitutional responsibility to the executive. The fragmentations of the legislature and mode of operation have incapacitated them from having adequate time and the necessary cohesion to address policy matters. As a result, a good number of policy proposals (especially the

sensitive ones) will have to be initiated and sponsored by the president. Fourthly, the executive has enormous funds, ample facilities and the power of patronage at its disposal to push for the acceptance and passage of its policy proposals. In the areas of foreign and military policy, Anderson (1979) declared that presidents possess great constitutional powers and operating freedom, especially in the United States of America. Foreign policy is largely a creation of presidential leadership and action. It is to a great extent the domain of the executive, and this is the case in all nations of the world. Egomwan (1979) corroborated this assertion by declaring that in some cases, the president is an 'adopter' of any policy initiated singly by the presidency itself in its own right. He cited the example of President Babangida who donated money to a university in Sierra Leone and sent relief funds and materials to South-West People's Organisation (SWAPO) in Namibia without any recourse to the Armed Forces Ruling Council. In developing countries, the scenario is that power is more highly concentrated in the executive. As a result of this, the executive has more influence in forming public policies and in the entire policy process.

## **The Courts**

The influence of judges in interpreting laws has an equally significant impact on policy. This actor Popoola (2016) prefers to call the judiciary. The essence is to enable for a resounding analysis of the role of the judge and the court that make up the judiciary in public policy process. The judiciary comprises judges and the courts. Their constitutional responsibilities are the interpretation of the constitution and the laws, as well as adjudication in conflicts between individuals, groups, governmental institutions and the arms/levels of government. It is instructive to note that the judiciary is not constitutionally empowered to initiate, formulate or implement policies. However, through the interpretation of the constitution and laws, it contributes significantly to the policy making process. Egomwan (1991) identified four important instruments that the judiciary employs to react to policies. These instruments are:

**(a) Judicial Review:** This refers to the power of courts to determine the constitutionality of the actions of the legislative and executive branches and declare them unconstitutional, null and void, and of no effect if such actions violate any section(s) of the constitution.

**(b) Statutory Interpretation of Cases Brought Before the Judges:**

This instrument refers to the power of courts used in interpreting and deciding the meaning of constitutional provisions which are prone to conflicting interpretations. Judges in their courts clarify constitutional provisions and whatever interpretation they give becomes binding on all parties involved.

**(c) Formulation of Economic Policies:** This has to do with the decisions of courts on matters like contracts, ownership of property and employer-employee relationship. When matters relating to these are brought before the courts/judges, their decisions can translate to policymaking, or policy fine-tuning, or "repolicying" altogether.

**(d) Judicial Activism:** This instrument refers to the regulation of social and political

activities in line with changing times. In this process, the courts specify what government cannot do and what it has to do in order to satisfy legal and constitutional obligations. Consequently, the courts can venture into, and adjudicate on, areas like the rights of individuals to social welfare services. It can also adjudicate in the operation of public institutions like schools, colleges and universities. Through these instruments, the judiciary brings about judicial intervention which can, not only modify policies, but also redirect policy and action as well as moderate implementation activities. In a nutshell, the judiciary is that actor that ensures propriety, fairness, constitutionality, justice and moderation in the policy process.

### **Self-Assessment Exercises 1**

1. What is the different between official policy maker and unofficial policy maker?
2. Who are the interest groups in the unofficial policy maker?

### **1.4 Unofficial Policy Makers**

According to Popoola (2016), unofficial policymakers do not occupy formal public positions or political offices. They are not in government but they derive their relevance and policy-making roles from government and the official policy makers. Mainly, they harness their interests and demands, harmonise them and influence official policymakers to factor them into the policymaking process. The unofficial policy makers (as described by Anderson) are people who do not possess legal authority to make binding policy decisions. They do not occupy formal public positions or political offices. They are not in government but they derive their relevance and policy-making roles from government and the official policymakers. They are engaged, mainly, in harnessing their interests and demands, harmonising them and influencing the official policymakers to factor these interests and demands into the policy making process. These unofficial policy makers comprise interest groups, political parties and individual citizens.

#### **1.4.1 Categorization of Unofficial**

##### **Interest Groups**

Interest groups are a fundamental partner in policy making. Citizens participate in the policy process through communication with policy makers. Such communication takes place individually (e.g., letters to elected representatives) and collectively. Interest groups facilitate collective communication. They are associations of individuals who share common interests, beliefs and aspirations regarding their demands. They are civil society organisations that advance and advocate their interests and demands with a view to influencing the policy process. Abutudu (1995) identified five such groups. The first group is made up of professional associations, labour and students such as the Nigerian Bar Association (NBA), Nigerian Medical Association (NMA), Nigeria Labour Congress (NLC), and National Association of Nigerian Students (NANS). The second group consists of the human rights groups like Civil Liberties Organisation (CLO) and Committee for the Defence of Human Rights (CDHR). The third group is made up of primordial groups that struggle for state power and the national cake such as Arewa Consultative Forum (ACF), Middle Belt Forum, Afenifere and Ohaneze.

The fourth group comprises the business class in manufacturing, banking and finance, agriculture, mining and commerce under the umbrella of the Nigerian Chamber of Commerce. The fifth category consists of numerous groups that are voluntary in nature and essentially mutually supportive in character such as town unions and community development associations. All these groups, according to Anderson (1979), perform an interest articulation function, that is, they express demands and present alternatives for policy actions. They may also supply public officials with much information, often of a technical sort concerning the nature and possible consequences of policy proposals. In doing so, they contribute to the rationality of policymaking. Interest groups submit memoranda and draft policy proposals to the legislature, for example, the Nigerian National Assembly. They also mobilize the public to support their advocacy on particular policy proposals. Besides, they work through their constituencies' representatives in the National Assembly to influence the policy process. Official policy makers cannot ignore interest groups because of the large following they command and because of their good organisation and prominent activities.

### **1.4.2 Political Parties**

They refer to groups of like-minded people who have come together with the sole intention of gaining the control of the machinery of government. As they pursue their primary interest of gaining governmental power, they play prominent roles in the policy process. A political party that controls the lever of power tends to influence their members in government to formulate policies that will project and protect their party programmes and manifesto. Political parties that have minority members among official policy makers try to advocate and build coalitions for factoring their party programmes into policy proposals. Apart from this, they also wield considerable influence by providing alternatives to existing policies. Political parties are distinct from other citizen organisations. Rather than attempting to influence existing policy makers, parties seek to get their own members elected to policy-making positions. While interest groups seek influence on specific policy issues, parties seek influence on a wide spectrum of policy issues. Parties develop issue platforms, draft candidates, campaign on behalf of candidates, and work to get out the vote. In short, parties work to bring together citizens under a common banner. While most people may think of parties only during election cycles, their policy influence extends beyond campaigns. While the rise of the media over the last thirty years has de-emphasised the power of parties in electoral politics, Eldersveld accurately points out that parties continue to play a dominant role in policy outcomes. First and foremost, the party that emerges dominant determines the direction policy will take.

### **Unofficial Policymakers**

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## **Other classification of Unofficial**

### **Interest Groups**

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### **Political Parties**

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get their own members elected to policy-making positions. While interest groups seek influence on specific policy issues, parties seek influence on a wide spectrum of policy issues. Parties develop issue platforms, draft candidates, campaign on behalf of candidates, and work to get out the vote. In short, parties work to bring together citizens under a common banner.

While most people may think of parties only during election cycles, their policy influence extends beyond campaigns. While the rise of the media over the last thirty years has de-emphasised the power of parties in electoral politics, Eldersveld accurately points out that parties continue to play a dominant role in policy outcomes. First and foremost, the party that emerges dominant determines the direction policy will take.

## **The Media**

The media are influential to policy outcomes because they help define social reality. The work of McCombs and Shaw supports the assertion that the media influence the salience of issues. As Lippmann observed in 1922, perceptions of reality are based on a tiny sampling of the world around us. No one can be everywhere, no one can experience everything. Thus, to a greater or lesser extent, all of us rely on media portrayals of reality. Graber argues that the way people process information makes them especially vulnerable to media influence. First, people tend to pare down the scope of information they confront. Second, people tend to think schematically. When confronted with information, individuals will fit that information into pre-existing schema. And, since news stories tend to lack background and context, schemata allow the individual to give the information meaning. In such a way, individuals recreate reality in their minds. The data collected by Iyengar and Kinder show that television news, to a great extent, defines which problems the public considers most serious. Iyengar and Kinder refine the agenda setting dynamic to include what they call “priming.” Priming refers to the selective coverage of only certain events and the selective way in which those events are covered. Since there is no way to cover all events, or cover any event completely, selective decisions must be made. But, there are consequences. By priming certain aspects of national life while ignoring others, television news sets the terms by which political judgments are rendered and political choices made (Iyengar and Kinder 1987:4). The implications for public policy are serious. If policy is a result of the problem recognition model that Theodoulou summarised earlier, then the problems that gain media recognition are much more likely to be addressed.

## **Individual Citizens**

The interests and desires of common citizens are consequential for public policies (Lindbloom, 1986). Governments, all over the world, tend to listen and pay attention to what their citizens desire in order to minimise social unrest and avoid violent agitations. Consequently, citizens play vital roles in the policy making process. Citizens are voters, and through the electoral process, they help to produce basic changes in public policy (Anderson, 1979). Citizens can vote out any political party or the personalities involved if they are not satisfied with their policy programmes. Thus, they can bring about discontinuity in policy programmes with their voting power. Individual citizens with

great intellectual depth and versatility can make considerable impact on policy issues and policy choices. Government cannot ignore such people in policy matters because of their intellectual skills, analytical minds, and their facts and figures. Again, there are also citizens who, themselves, have served in governmental positions and capacities. Through their experiences and exposure in government, they influence the policy process by engaging in political activism and submitting memoranda on policy issues. They also articulate their policy proposals through the media (print or electronic) and through press conferences.

## Self-Assessment Exercise 2

1. Discuss the function of court in the official policy maker?



### 1.5 Summary

In this unit, we have been able to identify the key actors in public policy making and the roles they play. We further categorization of official and unofficial actors in the aspect of institutional and non-institutional. The differences in nomenclature notwithstanding, the actors are the same as well as their role in the governmental activities.



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## **1.7 Possible Answers to SAEs**

### **Answer to SAE1**

#### **1. Different between official policy maker and unofficial policy maker:**

The official policymakers are those who possess legal authority to engage in the formulation of public policy. Those involved in this category are the legislators, the executive, the administrators and the judiciary. Each of them performs policy-making responsibilities in a different way from the others. They are governmental actors who occupy formal public positions and political offices and serve as the actual policy makers.

While unofficial policymakers do not occupy formal public positions or political offices. They are not in government but they derive their relevance and policy-making roles from government and the official policy makers. Mainly, they harness their interests and demands, harmonise them and influence official policymakers to factor them into the policymaking process. The unofficial policy makers (as described by Anderson) are people who do not possess legal authority to make binding policy decisions.

#### **2. Identification of interest groups in the unofficial policy maker:**

Interest groups are a fundamental partner in policy making. Citizens participate in the policy process through communication with policy makers. Such communication takes place individually (e.g., letters to elected representatives) and collectively. Interest groups facilitate collective communication. They are associations of individuals who share common interests, beliefs and aspirations regarding their demands. They are civil society organisations that advance and advocate their interests and demands with a view to influencing the policy process.

### **Answer to SAE 2**

#### **1. The function of court in the official policy maker**

The influence of judges in interpreting laws has an equally significant impact on policy. The essence is to enable for a resounding analysis of the role of the judges and the court that make up the judiciary in public policy process. The judiciary comprises judges and the courts. Their constitutional responsibilities are the interpretation of the constitution and the laws, as well as adjudication in conflicts between individuals, groups, governmental institutions and the arms levels of government. It is instructive to note that the judiciary is not constitutionally empowered to initiate, formulate or implement policies.

## UNIT 2 DECISION MAKING PROCESS

### Unit Structure

- 2.1 Introduction
- 2.2 Learning Outcomes
- 2.3 Meaning of Decision making
  - 2.3.1 Characteristics of decision making
  - 2.3.2 Types of Decision
- 2.4 Levels of Decision-making process
  - 2.4.1 Factors Affecting Decision making
- 2.5 Summary
- 2.6 Reference/Further Reading/Web Resources
- 2.7 Possible Answers to Self-Assessment Exercise(s) within the content



### 2.1 Introduction

Every day, people are inundated with decisions, big and small. Understanding how people arrived at their choices is an area of cognitive psychology that has received attention. Theories have been generated to explain how people make decisions, and what types of factors influence decision making in the present and future. In addition, heuristics have been researched to understand the decision-making process.

Consequently, how does decisions are made? Do you understand what is meant by decision making process? We discuss in detail in the couese of our discussion.



### 2.2 Learning Outcomes

At the end of this unit, you should be able to:

- explain what its take in decision-making
- state the characteristics of decision
- describe the levels of decision-making process
- enumerate the factors affecting decision-making.



### 2.3 Meaning of Decision Making

Decision-making is usually defined as a process or sequence of activities involving stages of problem recognition, search for information, definition of alternatives and the selection of an actor of one from two or more alternatives consistent with the ranked preferences”. Decision-making can be regarded as a problem-solving activity terminated by a solution deemed to be optimal, or at least satisfactory. It is therefore a process which can be more

or less rational or irrational and can be based on explicit or tacit knowledge and beliefs. Decision making is the process of making choices by identifying a decision, gathering information, and assessing alternative resolutions. Using a step-by-step decision-making process can help you make more deliberate, thoughtful decisions by organizing relevant information and defining alternatives. This approach increases the chances that you will choose the most satisfying alternative possible.

### **Self-Assessment Exercises 1**

1. What do you understand by decision making?
2. Itemise four level of decision making.

### **2.3.1 Characteristics of Decision Making**

The following are the characteristics of decision making:

- i) Objectives must first be established
- ii) Objectives must be classified and placed in order of importance
- iii) Alternative actions must be developed
- iv) The alternatives must be evaluated against all the objectives
- v) The alternative that is able to achieve all the objectives is the tentative decision
- vi) The tentative decision is evaluated for more possible consequences
- vii) The decisive actions are taken, and additional actions are taken to prevent any adverse consequences from becoming problems and starting both systems (problem analysis and decision-making) all over again
- viii) There are steps that are generally followed that result in a decision model that can be used to determine an optimal production plan
- ix) In a situation featuring conflict, role-playing may be helpful for predicting decisions to be made by involved parties (Monahan, 2000; Armstrong, 2001).

### **2.3.2 Types of Decision**

It is not often realised that there are different types of decision making. Although this may seem obvious it's not always understood. And even when it is, decision types may not be fully considered when decisions are being made. The following are the main types of decisions every organisation need to take:

#### **1. Programmed and Non-Programmed Decisions**

Programmed decisions are concerned with the problems of repetitive nature or routine type matters. A standard procedure is followed for tackling such problems. These decisions are taken generally by lower level managers. Decisions of this type may pertain to e.g. purchase of raw material, granting leave to an employee and supply of goods and implements to the employees, etc. Non-programmed decisions relate to difficult situations for which there is no easy solution. These matters are very important for the organisation. For example, opening of a new branch of the organisation or a large number of employees absenting from the organisation or introducing new product in the market, etc., are the decisions which are normally taken at the higher level.

## **2. Routine and Strategic Decisions**

Routine decisions are related to the general functioning of the organisation. They do not require much evaluation and analysis and can be taken quickly. Ample powers are delegated to lower ranks to take these decisions within the broad policy structure of the organisation. Strategic decisions are important which affect objectives, organisational goals and other important policy matters. These decisions usually involve huge investments or funds. These are non-repetitive in nature and are taken after careful analysis and evaluation of many alternatives. These decisions are taken at the higher level of management.

## **3. Tactical (Policy) and Operational Decisions**

Decisions pertaining to various policy matters of the organisation are policy decisions. These are taken by the top management and have long term impact on the functioning of the concern. For example, decisions regarding location of plant, volume of production and channels of distribution (Tactical) policies, etc. are policy decisions. Operating decisions relate to day-to-day functioning or operations of business. Middle and lower level managers take these decisions. An example may be taken to distinguish these decisions. Decisions concerning payment of bonus to employees are a policy decision. On the other hand if bonus is to be given to the employees, calculation of bonus in respect of each employee is an operating decision.

## **4. Organisational and Personal Decisions**

When an individual takes decision as an executive in the official capacity, it is known as Organisational decision. If decision is taken by the executive in the personal capacity (thereby affecting his personal life), it is known as personal decision. Sometimes these decisions may affect functioning of the organisation also. For example, if an executive leaves the organisation, it may affect the organisation. The authority of taking organisational decisions may be delegated, whereas personal decisions cannot be delegated.

## **5. Major and Minor Decisions**

Another classification of decisions is major and minor. Decision pertaining to purchase of new factory premises is a major decision. Major decisions are taken by top management. Purchase of office stationery is a minor decision which can be taken by office superintendent.

## **6. Individual and Group Decisions**

When the decision is taken by a single individual, it is known as individual decision. Usually routine type decisions are taken by individuals within the broad policy framework of the organisation. Group decisions are taken by group of individuals constituted in the form of a standing committee. Generally very important and pertinent matters for the organisation are referred to this committee. The main aim in taking group decisions is the involvement of maximum number of individuals in the process of decision-making.

## 7. Policy, Administrative and Executive Decisions

Ernest Dale has classified decisions in business organisation as under

- (a) Policy decisions,
- (b) Administrative decisions and
- (c) Executive decisions.

**Policy decisions** are taken by top management or administration of an organisation. They relate to major issues and policies such as the nature of the financial structure, marketing policies, outline of organisation structure.

**Administrative decisions** are made by middle management and are less important than policy decisions. According to Ernest Dale the size of the advertising budget is a policy decision but selection of media would be an example of administrative decision.

**Executive decisions** are those which are made at the point where the work is carried out. Distinguishing between these three types of decisions Dale writes, "policy decisions set forth goals and general courses of action, administrative decisions determine the means to be used and executive decisions are those made on a day-to-day basis as particular cases come up".

### 2.4 Levels of Decision-Making Process

Management remains “the least efficient activity in any organisation”, according to management thinker Gary Hamel, and is increasingly disconnected from what is happening on the front line, a point surely underlined by the recent debacles over Libor. Nonetheless, despite thousands of books written on the subject, and billions invested in it to streamline organisations, unwieldy hierarchies remain stubbornly in place and here is where decisions usually are made.

When “flat organisation” structures were first being promoted by the likes of Peter Drucker nearly 30 years ago, the renowned organisational psychologist Elliott Jaques contended that all organisations had four real decision-making levels, which he termed “requisite hierarchy”. Those at the front line made day-to-day calls, managers’ outlook was month to month, directors were paid to decide on matters affecting year- to-year performance, and the board was there to oversee the development of the business a year and beyond.

In line with new Public Management, we shall adopt John Spence (2015) Four Level Decision Making. According to him, A while back when I was running one of the Rockefeller foundations I had a fairly large staff but had designed our team with a very flat organisational structure. When a company is organised in such a manner, successful delegation and quick decision making is a must. To foster such an environment I developed a pretty straight-forward four level decision making protocol to quickly identify who should be making which kinds of decisions.

**Level 1 = Delegation**

This is the kind of decision that I do not need to be involved in at all. You do not need to tell me about it – just make the decision completely on your own and implement it right away. You own this decision.

**Level 2 = Discussion**

Talk to me, or someone else in the organisation, to get input, information and suggestions, but make the decision completely on your own. You also own this decision.

**Level 3 = Consensus**

On a decision like this let's get the team together and talk it through. Let's get everybody's ideas, expertise and input, then we will make the decision together as a management team. We all own this decision together and will do whatever the team agrees is the best course of action.

**Level 4 = My Call**

A level 4 decision is ultimately my choice as the leader. I will get everyone's input, ideas, suggestions and expertise. We will talk it through together. But at the end of the day I will make this decision for the entire organisation and it will be completely my responsibility. I own this decision 100%.

I rarely had to make any level 4 decisions, and as we worked on this system together we were able to push more and more things down to level 1 or 2 – thereby freeing up a lot of my time and letting people play a much bigger role in how they ran their part of the business. The way we implemented this was also simple. I handed out a sheet that explained the levels, and then every time someone came to me to make a decision for them, I would say: "That is a level one – you handle it" or "That is a level 2 – am I the best person to give you input on that topic?" and so forth, until people could pretty much figure out what sort of decisions fell into which category and they could just do what was appropriate. Of course there are many other factors involved in effective delegation, such as; adequate training, transparency, empowerment, acceptable risk taking and such, but I found this system to be a nice way to help my team make better and faster decisions.

**2.4.1 Factors Affecting Decision Making**

Whenever we are involved in making decisions a number of factors can affect the process we follow and ultimately the decision we make. We can organise the factors affecting decision making into three major groups: Perception Issues, Organisational Issues and Environmental Issues

**1. Perception Issues**

Perception can be described as the way in which individuals interpret their environment. An individual's perception can influence how they make decisions and solve problems. For example, when information about a problem needs to be gathered the individual's

perception will impact on where the information is sought and the type of information regarded as relevant. Perception can be influenced by the following:

### **The Perceiver**

The perceiver, the individual perceiving the object, will be heavily influenced by their personal characteristics. The types of personal characteristics that can affect an individual's perception include: Background and experience, Personal values, personal expectations and Personal interests.

### **The Object**

The object, which refers to any person, item or event, can have an impact on the way it is perceived. For example, when a manager receives a number of reports to read he may be more inclined to read the one with the most colourful cover as this one stands out. The relation an object has to other objects can also affect the perception of the perceiver. For example, an individual team member may be judged on the actions of the whole team even when it is more appropriate for them to be judged on their own merits.

### **The Situation**

Time, location and other situational factors can influence our perception of an object. For example, a Team Leader may notice team members who work late on the same evenings as the Team Leader. However, team members who work late on other evenings may not be noticed by the Team Leader.

## **2. Organisational Issues**

A number of Organisational issues can impact on the decision making process. These issues include: Policies and procedures, Organisational hierarchy, Organisational politics.

### **Policies and Procedures**

Many organisations have formalised policies and procedures which have been developed to resolve common problems and to guide managers when making decisions. For example, many organisations have documented disciplinary procedures which guide managers through a process of resolving issues with staff members.

### **Organisational Hierarchy**

Organisational hierarchy refers to the management structure of the organisation. Most organisations have different levels of management which carry with them different degrees of authority. The degree of authority directly impacts on the nature of the decisions an individual can make. For example, a Customer Contact Centre Team Leader cannot make decisions about the overall goals of the organisation. However, the Team Leader can make decisions about how their team contributes to the achievement of the organisation's goals.

### **Organisational Politics**

Organisational politics refers to behaviour displayed by individuals and groups which is

designed to influence others. Individuals and teams will often use politics to: Advance their careers, Advance their interests and ideas, and Increase their rewards. Organisations are made up of individuals with different beliefs, values and interests. These differences are often the driving forces behind organisational politics. For example, two teams believe they require an extra team member. Unfortunately, the organisation can only afford one new employee. The two teams may well use politics in an attempt to influence their manager to allocate the new employee to their team.

### 3. Environmental Issues

Environmental issues are the external factors that affect the organisation. The types of external factors that can have an effect on decision making include: The market in which the organisation operates The economy Government legislation Customers' reaction to the organisation's products and services.

#### Self-Assessment Exercise 2

1. Discuss organization issue as factor that affects decision making.



#### 2.5 Summary

Decision making is an important area of research in Public Administration. Understanding the process by which individuals make decisions is important to understanding the decisions they make. There are several factors that influence decision making. After an individual makes a decision, there are several differing outcomes, including regret and satisfaction



#### 2.7 References/Further Reading/Web Resources

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## 2.7 Possible Answers to SAEs

1. **Meaning of Decision making:** Decision-making can be regarded as a problem-solving activity terminated by a solution deemed to be optimal, or at least satisfactory. It is therefore a process which can be more or less rational or irrational and can be based on explicit or tacit knowledge and beliefs.
2. The four level of decision making are;
  - a. Level 1 = Delegation
  - b. Level 2 = Discussion
  - c. Level 3 = Consensus
  - d. Level 4 = My Call
3. Organization factors of decision making
  - a. **Organisational Issues:** A number of Organisational issues can impact on the decision making process. These issues include: Policies and procedures, Organisational hierarchy, Organisational politics.
    - Policies and Procedures: Many organisations have formalised policies and procedures which have been developed to resolve common problems and to guide managers when making decisions.
    - Organisational hierarchy refers to the management structure of the organisation.
    - Organisational politics refers to behaviour displayed by individuals and groups which is designed to influence others

## UNIT 3 POLICY MAKING CYCLE

### Unit Structure

- 3.1 Introduction
- 3.2 Learning Outcomes
- 3.3 Meaning of Public policy
  - 3.3.1 Policy Making Process
  - 3.3.2 Classification of Public Policy Process
- 3.4 Approaches to Agenda Setting
  - 3.4.1 Policy Formulation Process
  - 3.4.2 Policy Evaluation
  - 3.4.3 Policy Monitoring and Evaluation
  - 3.4.4 Policy Adoption
- 3.5 Summary
- 3.6 Reference/Further Reading/Web Resources
- 3.7 Possible Answers to Self-Assessment Exercise(s) within the content



### 3.1 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. There are several approaches and methods of studying public policy analysis.

However, do we know public policy circle? How do you demonstrate approaches to the agenda in policy setting?



### 3.2 Learning Outcomes

By the end of this unit you will be able to,

- i) Discuss the meaning of Public Policy and
- ii) Analyse the stages in public policy process
- iii) Demonstrate approaches to agenda setting
- iv) Evaluate policy making process



### **3.3 Meaning of Public Policy**

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) 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.

#### **3.3.1 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.

#### **3.3.2 Classification of Public Policy Process**

##### **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 than 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.

##### **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

##### **Policy Formulation**

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**

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

- i. 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.
- ii. 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.
- iii. 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.

### **Self-Assessment Exercises 1**

1. Explain types of policy formulation process?
2. Define evaluation and identify its types

### **3.4 Approaches to Agenda Setting**

There are three approaches to agenda setting in a democratic society

#### **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**

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.

### **3.4.1 Policy Formulation Process**

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. The process of formulating policy includes,

- (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

### **3.4.2 Policy Evaluation**

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

1. Political evaluation to assess the political feasibility of the policy;
2. 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.

## **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 over-rule 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).

### **3.4.3 Policy Monitoring and Evaluation**

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.

### **3.4.4 Policy Adoption**

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).

### **Self-Assessment Exercise 2**

1. Define policy and policy making?



### **3.5 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.



### **3.6 References/Further Reading/Web Resources**

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### **3.7 Possible Answers to SAEs**

#### **Answer to SAEs 1**

1.

1. Three types of policy formulation process:

- i. 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.
- ii. 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.
- iii. 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.

#### **2. Meaning of Evaluation and types:**

Evaluation is concerned with the efficiency with which programmes are implemented. Evaluation can lead to additional policy formulation to correct deficiencies. However, this can be done in two ways.

- a. Political evaluation to assess the political feasibility of the policy
- b. 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.

#### **Answer to SAE 2**

1. Meaning of policy and policy making:

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.

Policy can also be defines as “important activities of government. It is an indication of an intention, a guide to action encompassing vales which set priorities and relations between government societies.

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.

## **UNIT 4      BUREAUCRACY AND PUBLIC POLICY MAKING**

### **Unit Structure**

- 4.1 Introduction
- 4.2 Learning Outcomes
- 4.3 The Concept of Bureaucracy
  - 4.3.1 Characteristics Bureaucracies
  - 4.3.2 Functions of Bureaucracy
- 4.4 Managing Discretion and Abuse of Administrative Power
  - 4.4.1 Problem of Bureaucracy in Administration Process
  - 4.4.2 Basic Techniques of Administrative Reform
- 4.5 Summary
- 4.6 Reference/Further Reading/Web Resources
- 4.7 Possible Answers to Self-Assessment Exercise(s) within the content



### **4.1 Introduction**

The federal bureaucracy performs three primary tasks in government: implementation, administration, and regulation. When the National Assembly passes a law, it sets down guidelines to carry out the new policies. Actually putting these policies into practice is known as implementation. This is where the role of the bureaucracy comes in. This role heralds the use of administrative discretion. In public administration, administrative discretion refers to the flexible exercising of judgment and decision making allowed to public administrators (Rabin, 2003; Cann, 2015). Regulatory agencies have the power to exercise this type of discretion in their day-to-day activities, and there have been cases where regulatory agencies have abused this power. Administrative law can help these agencies get on the path of following regulations, serve the public, and in turn, a reflection of the public's values and beliefs. Consequently,

Now, do you understand what bureaucracy is all about? Better still what is the meaning of bureaucracy and public policy making in a organization?



### **4.2 Learning Outcomes**

By the end of this unit, you will be able to

- i) Discuss what bureaucracy is all about
- ii) Analyse the role of bureaucracy in public policy making process
- iii) Demonstrate the administrative discretion
- iv) Evaluate the power of bureaucracy and its control measures.



### 4.3 The Concept of Bureaucracy

Bureaucracy refers to both a body of non-elective government officials and an administrative policy-making group. Historically, a bureaucracy was a government administration managed by departments staffed with non-elected officials. Today, bureaucracy is the administrative system governing any large institution (Tony & Dagmar 2015). The public administration in many countries is an example of a bureaucracy. Since being coined, the word bureaucracy has developed negative connotations (Raadschelders, 1998). Bureaucracies have been criticized as being inefficient, convoluted, or too inflexible to individuals (Ronald & Gary, 1994).

Others have noted the necessity of bureaucracies in modern life. The German sociologist Max Weber argued that bureaucracy constitutes the most efficient and rational way in which one can organise the human activity and that systematic processes and organized hierarchies are necessary to maintain order, maximise efficiency, and eliminate favouritism. On the other hand, Weber also saw unfettered bureaucracy as a threat to individual freedom, trapping individuals in an impersonal "iron cage" of rule-based, rational control (George, 2004; Richard & Agevall 2005). A bureaucracy is a way of administratively organising large numbers of people who need to work together. Organisations in the public and private sector, including universities and governments, rely on bureaucracies to function. The term bureaucracy literally means "rule by desks or offices," a definition that highlights the often impersonal character of bureaucracies. Even though bureaucracies sometimes seem inefficient or wasteful, setting up a bureaucracy helps ensure that thousands of people work together in compatible ways by defining everyone's roles within a hierarchy. Today bureaucracy is a large administrative organisation that handles the day-to-day business of government or society.

#### Self-Assessment Exercises 1

1. What two (2) features of bureaucracy in administrative process?
2. What are the basic techniques of administrative reform?

#### 4.3.1 Characteristics Bureaucracies

**A Clear Hierarchy** - Bureaucracies have a firm chain of command. Every worker has his or her own place in the chain, and everyone's work is overseen by someone on the next level up. Power flows down from the top of the hierarchy and diminishes as it approaches the bottom. Just think of the beehive. The queen bee stands at the top, and each worker bee or drone has its own place in the hive's chain of command.

**Specialisation** - Everyone in a bureaucracy has a specific job to do and often becomes an expert in it. Bees have specific jobs, too, collecting pollen, making honey, or populating the live.

**A Division of Labour** - In a bureaucracy, nearly every task is broken down into its component parts, and different people work on different parts of the task. Together they

get the job done, just like bees in a hive who divide their labour for maximum efficiency.

**A Set of Formal Rules** - These so-called standard operating procedures are the clear, written instructions for each specialised job at every level of the hierarchy. Workers who follow them can be sure that they are on the same page as their colleagues and are doing their jobs properly.

#### **4.3.2 Functions of Bureaucracy**

The main functions of bureaucracy are the implementation of government policies and programmes.

1. **The Bureaucracy Implements the Laws and Policies Made by Elected Officials** These laws and policies need to be put into practice in specific situations and applied in all the contingencies of daily life. For example, a city council has decided that all dog owners must have their pets licensed and micro chipped, but the city council members don't have the time to make sure that their decision is carried out. City workers, members of the city's bureaucracy, are the ones who answer questions and complaints about the law, help dog owners fill out the proper forms, decide when to waive the license fee, refer owners to veterinarians who can insert the microchips, work with the vets to hand out coupons for discounts on microchips, and enforce the law to make sure that all dog owners have their animals licensed and micro chipped in a reasonable amount of time.
2. The bureaucracy provides necessary administrative functions like conducting examinations, issuing permits and licenses, and collecting fees essentially, it handles the paperwork of everyday government operations. Anyone who has a driver's license has come face-to-face with bureaucratic administration through the required written and behind-the-wheel exams, learning permits, fees at all stages, and finally applying for and receiving the driver's license itself.
3. The bureaucracy regulates various government activities in other words, it creates the rules and regulations that clarify how various laws work on a daily basis. for instance, the bureaucracy is responsible for writing rules and regulations for public schools, including curriculum standards, examination procedures, discipline methods, teacher training and licensing requirements, and administrative policies. schoolchildren feel the effects of these regulations when they work on their assignments or take standardised tests
4. The bureaucracy in public policy making process according to Ayuba, et al. (2012), in Nigeria and across the world in general, the word bureaucracy is one of the most frequently, used by many authors in modern writing about organisation. This is because the public bureaucracies are entrusted with public property and they are charged with responsibilities of specific method of allocating resources within a large organisation. a synonym for this sense might be bureaucratic decision making.

Furthermore, they are also referred to as essentially civil servants primarily established to help in the formulation and implementation of government's policies. therefore, if you

ever wonder as a Nigerian why sometimes that governments do things that no one seems to be interested or understand in your particular state, local government or your village in spite of huge population, political or economic activities, and yet you don't feel the presence of federal, state or local government. While, if you take statistics or compare the area with others, you would discovered that there were more presence of government better than other areas. Then why does such happened? Who are responsible in shaping government decision making and implementation. Furthermore, have you ever wondered to know who these bureaucrats behind the political scene charged with the responsibility of helping the governments in taking and sharpening decisions that affect policy making process? The answer is that they are called season civil servants who have a strong background experience as administrators in critical thinking skills as well as decision-making abilities. Thus; it is ironic that bureaucracy is primarily a term of scorn. In reality, bureaus are among the most important institutions in every part of the world. not only do they provide employment for a very significant fraction of the world's population, but they also make critical decisions that shape the economic, educational, political, social, moral, and even religious lives of nearly everyone on earth...the ability of bureaus to outlive their real usefulness is part of the mythology of bureaucracy (Downs, 1967).

#### **4.4 Managing Discretion and Abuse of Administrative Power**

On the line of executing the policies of government, the bureaucrats/administrators are given certain administrative powers. Administrative power is the power to administer or enforce a law. Administrative powers can be executive, legislative, or judicial in nature. Administrative power intends to carry the laws into effect, practical application of laws and execution of the principles prescribed by the lawmaker. Therefore, it qualifies as administrative discretion. According to laksheyender (2011), administrative discretion means choosing from amongst the various available alternatives but with reference to the rules of reason and justice and not according to personal whims. Such exercise is not to be arbitrary, vague and fanciful, but legal and regular.

##### **4.4.1 Problems of Bureaucracy in Administration Process**

Basically, there is a problem with administrative powers/discretion. The problem of administrative discretion is complex. It is true that in any intensive form of government, the government cannot function without the exercise of some discretion by the officials. It is necessary not only for the individualisation of the administrative power but also because it is humanly impossible to lay down a rule for every conceivable eventually in the complex art of modern government. But it is equally true that absolute discretion is a ruthless master. It is more destructive of freedom than any man's other inventions. Therefore, there has been a constant conflict between the claims of the administration to an absolute discretion and the claims of subjects to a reasonable exercise of it. Discretionary power by itself is not pure evil but gives much room for misuse. Therefore, remedy lies in tightening the procedure hence keeping the administrator accountable as discretions are, according to Ikeanyibe (2013) usually informal and therefore unprotected by the safeguards inherent in formal procedure. Yet it is inevitable since rules and regulations can never be too detailed to the extent that everything an administrator may

have to do is clearly prescribed for him/her. Every form of public policy will inevitably see variations from the original intended policy goals as part of the discretionary process (Theodoulou and Kofinis, 2007). Policies are not implemented in static environment and exercising discretion to meet the changing political and administrative environment is a necessity for sustainable long term effectiveness (Wong, 2007).

#### **4.4.2 Basic Techniques of Administrative Reform**

In support for administrative discretion, Brodtkin (2007) sees administrative reforms as a likely way to manage administrative discretion and thus, identified two basic methods of reforms,

1. Managerial and structural repositioning of the bureaucratic organisation through formal rules and regulations, monitoring, rewards and penalties, or even persuasion and exhortation. It involves the use of standard instrument the “old” public administration. This is the formal bureaucratic internal mechanism of control.
2. Administrative reforms in the light of the New Public Management Approach. The New Public Management (NPM) approach to public service production and delivery runs counter to the old ('traditional') bureaucratic approaches that were born with the emergence of the modern states systems across most of the Western world. It rejects the idea of a specific culture for public organisations and typically argues that such organisations should be managed in the same way as any private sector organisation (Ricucci, 2001, Page, 2005; Dunleavy, Margetts, Bastow and Tinkler, 2006). This approach was developed during the 1980s as part of an effort to make the public service more "businesslike" and to improve its efficiency by using private sector management models. As with the private sector which focuses on "customer service; NPM reforms often focused on the centrality of citizens who were the recipient of the services or customers to the public sector.
3. NPM reformers experimented using decentralised service delivery models, to give local agencies more freedom in how they delivered programs or services. In some cases, NPM reforms that used e-government consolidated a program or service to a central location to reduce costs. Key themes in NPM were financial control, value for money, increasing efficient, identifying and setting targets and continuance monitoring of performance, handing over power to the senior management" executives.
4. Performance was assessed with audits, benchmarks and performance evaluations. Some NPM reforms used private sector companies to deliver what were formerly public services. However, many scholars have found certain deficiencies in this method though it proposes reducing the role of bureaucracy in policy implementation, it seeks to increase its role in policy making, and hence the use of discretion cannot be stamped out the powers of bureaucrats (Ikeanyibe, 2013).

##### **4.4.2.1 The Role of Civil Servant**

In spite of the important roles of the civil servant in Nigeria in achieving many of government's laudable policies and programmes, however, not much of such are fully and excellently implemented or achieved but in many instances, as many of them have

been marred by poor implementation strategies (i.e. bureaucratic procedures). This become so, as the civil service has a way of putting obstacles or frustration in the way policies are being formulated by the political officials, especially those policies on which they hold divergent opinions or are not of direct benefit to them. As such, they employed so many varieties of tactics “to thwart such implementation”. From the fore-going, as stated by Okotoni (2001) that we can summarise the role of the federal bureaucracy as coordination of federal ministries, advising the political officials, formulation and implementation of government’s policies, gathering and supplying of data for policy makers, ensuring continuity of services and public relations services. All the roles highlighted above are so crucial to the smooth running of any administration to the extent that one may be tempted to conclude that bureaucracy is indispensable in public Policy formulation and implementation.

## Self-Assessment Exercise 2

1. Explain the functions of bureaucracy?



### 4.5 Summary

In this unit, we have been able to establish that bureaucracies is involved in every stages of the policy making process hence the bureaucrats inevitably become involved in the policy-making process as they develop experience, accumulate information and gain expertise on matters of public policy. This experience enters not only the policy formulation and implementation stage, but also the final process of evaluation, review and assessment. The evaluation state is the process where an organisation, whether public or private, evaluates and revises its policies on whether it was effective in resolving the targeted issue.



### 4.6 References/Further Reading/Web Resources

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## 4.8 Possible Answer to SAEs

### Answer to SAEs 1

#### 1. Features of bureaucracy in administrative process (TWO ONLY)

**A Clear Hierarchy** - Bureaucracies have a firm chain of command. Every worker has his or her own place in the chain, and everyone's work is overseen by someone on the next level up. Power flows down from the top of the hierarchy and diminishes as it approaches the bottom. Just think of the beehive. The queen bee stands at the top, and each worker bee or drone has its own place in the hive's chain of command.

**Specialisation** - Everyone in a bureaucracy has a specific job to do and often becomes an expert in it. Bees have specific jobs, too, collecting pollen, making honey, or populating the live.

**A Division of Labour** - In a bureaucracy, nearly every task is broken down into its component parts, and different people work on different parts of the task. Together they get the job done, just like bees in a hive who divide their labour for maximum efficiency.

**A Set of Formal Rules** - These so-called standard operating procedures are the clear, written instructions for each specialised job at every level of the hierarchy. Workers who follow them can be sure that they are on the same page as their colleagues and are doing their jobs properly.

## 2. Basic techniques of administrative reform

- A. Managerial and structural repositioning of the bureaucratic organisation through formal rules and regulations, monitoring, rewards and penalties, or even persuasion and exhortation. It involves the use of standard instrument the “old” public administration. This is the formal bureaucratic internal mechanism of control.
- B. Administrative reforms in the light of the New Public Management Approach. The New Public Management (NPM) approach to public service production and delivery runs counter to the old ('traditional') bureaucratic approaches that were born with the emergence of the modern states systems across most of the Western world. It rejects the idea of a specific culture for public organisations and typically argues that such organisations should be managed in the same way as any private sector organisation (Ricucci, 2001, Page, 2005; Dunleavy, Margetts, Bastow and Tinkler, 2006). This approach was developed during the 1980s as part of an effort to make the public service more "businesslike" and to improve its efficiency by using private sector management models. As with the private sector which focuses on "customer service; NPM reforms often focused on the centrality of citizens who were the recipient of the services or customers to the public sector. NPM reformers experimented using decentralised service delivery models, to give local agencies more freedom in how they delivered programs or services.

## Answer to SAEs 2

1. The Bureaucracy Implements the Laws and Policies Made by Elected Officials These laws and policies need to be put into practice in specific situations and applied in all the contingencies of daily life. For example, a city council has decided that all dog owners must have their pets licensed and micro chipped, but the city council members don't have the time to make sure that their decision is carried out. City workers, members of the city's bureaucracy, are the ones who answer questions and complaints about the law, help dog owners fill out the proper forms, decide when to waive the license fee, refer owners to veterinarians who can insert the microchips, work with the vets to hand out coupons for discounts on microchips, and enforce the law to make sure that all dog owners have their animals licensed and micro chipped in a reasonable amount of time.
2. The bureaucracy provides necessary administrative functions like conducting examinations, issuing permits and licenses, and collecting fees essentially, it handles the paperwork of everyday government operations. Anyone who has a driver's license has come face-to-face with bureaucratic administration through the required written and behind-the-wheel exams, learning permits, fees at all stages, and finally applying for and receiving the driver's license itself.
3. The bureaucracy regulates various government activities in other words, it creates the rules and regulations that clarify how various laws work on a daily basis. for instance, the bureaucracy is responsible for writing rules and regulations for public schools, including curriculum standards, examination procedures, discipline methods, teacher training and licensing requirements, and administrative policies.

schoolchildren feel the effects of these regulations when they work on their assignments or take standardised tests

4. The bureaucracy in public policy making process according to ayuba, et al. (2012), in Nigeria and across the world in general, the word bureaucracy is one of the most frequently, used by many authors in modern writing about organisation. this is because the public bureaucracies are entrusted with public property and they are charged with responsibilities of specific method of allocating resources within a large organisation.

## **UNIT 5 IMPACT OF ENVIRONMENT ON POLICY MAKING AND IMPLEMENTATION**

### **Unit Structure**

- 5.1 Introduction
- 5.2 Learning Outcomes
- 5.3 Policy Environment
  - 5.3.1 Political Environment
  - 5.3.2 Economic Environment
  - 5.3.3 Social Environment
- 5.4 Significance of Policy Making
- 5.5 Summary
- 5.6 Reference/Further Reading/Web Resources
- 5.7 Possible Answers to Self-Assessment Exercise(s) within the content



### **5.1 Introduction**

In this unit we will look at social environment, political, and social economic environment which affect policy formulation and implantation in our nation. Consequently, environment within which polices are enunciated and implemented exerts a lot of influence in the result of such polices. The impact of the environment could be perceived from the socio-political and economic factors. These factors contribute immensely in shaping the nature and direction of policies. Taking Nigeria's economic, political and social milieu into account, you will begin to appreciate why a Nigerian who scored 250 in JAMB will not obtain admission into the Federal University in his or her State, while someone who scored 180 from state far from where the university is located will secure admission. This same environment makes itself so pronounced during the general elections. Even after the elations, the activities of the legislature are usually tilted towards the ethnic groups whose member won the elections and so it goes on even in the appointment of selected political appointees who assists those elected in administering their mandate. Unfortunately, the same environment is paramount in the national assembly and even the judiciary. What plays out usually is the power of coalition, necessitated by ethnicity and religious fanaticism.



### **5.2 Learning Outcomes**

By the end of this unit, you will be able to;

- i) Discuss Political environment and the formulation of public policies
- ii) Analyze how the economic environment affects the formulation and implementation of public policies
- iii) Demonstrate how the social environment affects the formulation and implementation of public policies



## 5.3 Policy Environment

### 5.3.1 Political Environment

Political environment refers to forces and issues emanating from the political decisions of government, which are capable of altering the expected outcome and value of a given economic action, by changing the probability of achieving business objectives. Ibeto (2011) described the political environment as factors arising from changes in government policies and programmed which influence the ability of economic entities in achieving their goal. Some of the sub-factors as:

**(i) Leadership Style:** The nature of public policy could lead to the emergence of political leadership that falls within either of the following – Autocratic (Military or Civilian Dictatorship style); Laissesz-faire; and Democratic. Similarly, the type of leadership style can influence the type of policy making that a country or society is to embark upon. Campaigns against foreign goods, mandatory labour benefit legislation, kidnapping, terrorism, and civil wars (Griffen, 2005). Actions taken by government such as regulatory, legal framework, and political changes may decrease business income and acts as barriers to foreign investment (Mark & Nwaiwu, 2015).

**(ii) Political System:** The nature of a political system could be as a result of the existing public policy. Thus, a political system could be Capitalist or Socialist; Multi- party or One-party (Unitary); Democratic or Autocratic; Civilian or Military. Once a particular policy is put in place, it could affect the perpetuity or otherwise of the country's political system. The only exception is where the people themselves are dissatisfied with a particular policy and call for a change. Sometimes, these changes come peacefully or violently through agitation and confrontation.

**(iii) Political Stability or Instability:** Certain obnoxious policies, could lead to political instability. Yet, we need political stability for orderly progress of the nation both socially and economically. The political instability which Nigeria has been witnessing since her independence can be attributed as the cause of the deplorable state in which the Nigerian citizen is living. There is however, a link between the political and economic environment which is why several studies such as Richard, Devinney, George and Johnson (2009), and Ibeto (2011), have shown that the effort expended by multinational business managers in achieving their goal in Nigeria has not been very successful. Richards et al (2009), maintain that the successful performance of multinational companies depends to a great extent on the political environment of the host country. The multinational business managers in Nigeria operate in a dynamic political environment characterised by risks of multiple taxation, currency devaluation, inflation, repatriation, expropriation, confiscation.

### Self-Assessment Exercises 1

1. Explain the significant of policy making in our environment.

### 5.3.2 Economic Environment

The economic environment is that part of society pertaining to systems of production, consumption and management of resources. Elements within these systems include financial systems operating within a country, money, industry, goods and services, employment and the various stakeholders associated with these elements. Policy makers will need to consider the economic environment in which health policy is to be designed and implemented and the effect of this environment on health and well-being. This is seen as significant in countries where new economic models are emerging in countries with new democratic governments. "Economic issues acting at the country level influence clinical practice. In terms of public expenditure on health services, the overall level of economic development along with the relative importance attached to health in relation to other social needs has a profound effect upon the extent and quality of the clinical services available. Economic cycles of growth and recession which may affect different subgroups of the population in different ways, influence the direct funding of health services, the provision of welfare benefits, expenditure on health research and such cycles have indirect effects mediated by levels of employment (Tansella & Thornicroft, 1998).

### 5.3.3 Social Environment

The social environment involves Social structures and systems together form a society. They include nuclear, extended families and kinship networks, community, neighbourhood and social networks leadership patterns, religion, caste and class systems. Social structures and systems also include cultural perspectives on illness attribution and management. This includes the formal and informal belief systems that influence the understanding of mental health and mental illness in a culture and the culturally accepted methods by which help is sought. It has been argued, that "every country must formulate a mental health policy based on its own social and cultural realities" (Gureje & Alem, 2000).

Some scholars refer to it as socio-cultural environment, and they consist of

1. Population growth rate and age profile
2. Population health, education and social mobility, and attitudes to these
3. Population employment patterns, job market freedom and attitudes to work
4. Press attitudes, public opinion, social attitudes and social taboos
5. Lifestyle choices and attitudes to these
6. Socio-Cultural changes

#### 5.3.3.1 Social Factors

The most resounding of this social factor are

**(i) Multi-ethnic delivery in which we have cultural differences within a heterogeneous society as witnessed in Nigeria.** The culture influences the values and life-style of the society. Since every ethnic group tries to protect its own cultural views and strongly opposes any attempt to subsume its culture under others; it becomes difficult to make policies that can take care of the interests of these diverse groups in countries like Nigeria.

**(ii) Directly related to ethnic diversity is Religion.** The practice of which in Nigeria is Secular. Yet, it makes difficult, policy formulation that can take care of every member of the society. For instance, the policy of SHARIA legal system is highly opposed by Nigerians who practice some other religious faiths.

**(iii) Level of Literacy:** Here, we find that where the level of literacy is low ignorance is high. Hence, very few people participate in the policy making process. By so doing, they capitalise on the ignorance of the society and sometimes make obnoxious policies that would not be in the interest of many. For instance, Deregulation of the “Down-stream Oil Policy” in Nigeria is seen as an attempt to impose on Nigerians the will of the International Monetary Fund (IMF) which is not in the overall interest of many; rather, it is in the interest of the few who constitute the Authority and policy makers.

**(iv) Dichotomy between the Rich and the Poor:** Here, economic disequilibrium often leads to the creation of class distinction among the citizenry. On the one hand is the very rich group comprising small section of the society, on the other side, is the majority group who are socially and economically underprivileged. The small but rich group uses its advantageous position to influence policies in order to protect its selfish interests. Generally speaking, the social environment acts as a Catalyst for positive change in the direction which policies should go. In the area of provision of social amenities, a lot can be achieved if a responsive government can listen to the yawning of the people by ensuring equitable distribution of social amenities. Secondly, where there are glaring cases of inequity, certain government policies can be put in place to correct such imbalances. For instance, in Nigeria, we have the following among others: Federal Character Policy; dimension Policies into Secondary Schools/Colleges; Recruitment in Federal Service Policy such as Catchments Area Policy; National Industrial Policy or Expatriate Quota Policy and among other.

### **5.3.3.2 Major Contributors to Public Policy Making and Implementation in Nigeria**

Policy making is done at the strategic level while policy implementation is done at the Operational level of an organisation's hierarchy, and those who operate at the strategic Level particularly in government are members of the political class while members of the Bureaucratic class carries out activities at the operational level. This, therefore, presupposes that the public servant who naturally belongs to the bureaucratic class is not and should not consider himself as a policy maker. This position could submit itself to debate on two fronts. First, the public servant is a partner with the politician in the collaborative effort of policy-making; and secondly, it is the people who decide policy-not the policy servant or the politician. As earlier posted, public policy is a sanctioned course of action addressed to a particular problem or group of related problems which affect society at large. Public policy-making, therefore, denotes the whole process of articulating and defining problems, formulating possible solutions into political demands, and channeling the demands into the political system. Seeking sanctions or legitimating of preferred courses of action, legitimating and implementation, monitoring and review

(feedback), and who participates in what role in this process all depend to a great extent on the structure of political decision-making. In view of the foregoing, it was equally posited that a member of the bureaucratic class is not and should not consider himself as a policymaker. Admittedly, he has an important role to play in this process. He can collect, collate and analyse data; and he can pose options or alternative courses, of action. He can also advise on possible consequences of various options. But the question of choice of a course of action and the sanctioning of same is political action which is the domain of politicians. For instance, in Britain today, Ministers are determined to demonstrate that they and not the public servants make policies.

### **i) The Situation Today**

The democratically elected civilian administration, which came into being in Nigeria in May, 1999, hopefully portends the beginning of an enduring democracy in the country and an apparent movement away from the drift. This has so far, justified applicability of our knit arrangement in the levels of operation in policy making and implementation. A clearer picture is, therefore, emerging. At the apex of the strategic level of operation are the elected officials or political class” represented by the Legislature. By convention and constitutional provisions, this group makes laws and passes bills. The fact that must be appreciated is that each of these members is armed with his party’s ‘manifesto’, which arguably, enhanced his being voted into position. This presupposes that whatever laws made or bills passed into laws are, to a large extent, influenced by their party’s manifesto. These laws are then passed on to the executive political class comprising of both elected and appointed members, for implementation. Still operating at that strategic level, the executive translates the laws into policies and passes them down to its machinery of implementation, which is the bureaucratic class. The bureaucratic class therefore, religiously implements the policies within the confines of their discretions.

## **5.4 Significance of Public Making**

Public policy making and implementation constitute the bedrock of government business is that, it is the first activity that would channel activities of government towards its goal of improving the welfare of the people. In the conduct of government business numerous other activities take place but these must be determined by the public policy. For instance, in the pursuit of improving the health care delivery for the citizens, there must be formulated policy such as immunisation, roll-back malaria, maternal health; HIV and AIDS etc. this unit seeks to bring to the impact of both the political, economic and social environment on such issues. The unit equally discusses the contribution of the major factors such as members of the political class and members of the bureaucratic class and how they formulate and implement policies. The relationship between the legislative, the executive and the bureaucratic class in this quest is informative.

### **5.4.1 Macro System**

Economic perspectives contribute to policy at a macro level or system level, in terms of analysis of the overall organisation and financing of mental health services, as well as

consideration of the effects of mental ill health on the economy as a whole such as lost productivity and unemployment.

#### **5.4.2 Micro System**

At the micro-level of service providers and users, key concerns include need assessment, the cost-effectiveness of different treatment strategies and elicitation of user preferences (Chisholm, 2000). Specifically, there are

1. Government's Fiscal and Tax Policy which indicates the rate of socio-economic development;
2. Employment Opportunities for qualified citizens'
3. Technological Development: here, we find that policies are enunciated so that a country at the lower rung of technological ladder can strive to move ahead. Once a country is developing technologically, he will not only be able to provide the basic infrastructural facilities for the welfare of the citizens, but will also provide the necessary tools for individual development. In addition, public policies are made more effective by using the instrument of technology through the process of effective information gathering analysis and decision-making

#### **Self-Assessment Exercises 2**

1. Itemize two sub factors of political environment.



#### **5.5 Summary**

The corruption and mismanagement of public resources that has always been associated with any political administration in Nigeria is driven by three factors, the power of capitalism which seeks to transfer public wealth into private hand, ethnic cleavages which translates into winner takes it all politics in the country, and religious fanaticism. The three points reflect the environment of Nigeria public-making process. Before now, the economic ills of the society were blamed on political instability occasioned by military coups in the country. It later shifted to ethnic politics that is still rampant today but corruption is now blamed world over for the underdevelopment of the country returned of democracy since 1999. This is reflected on the parties in the country (PDP and APC).



#### **5.6 References/Further Reading/Web Resources**

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## **5.7 Possible Answer to SAEs**

### **Answer to SAEs 1**

1. significant of policy making in our environment:

Public policy making and implementation constitute the bedrock of government business is that, it is the first activity that would channel activities of government towards its goal of improving the welfare of the people. In the conduct of government business numerous other activities take place but these must be determined by the public policy. For instance, in the pursuit of improving the health care delivery for the citizens, there must be formulated policy such as immunisation, roll-back malaria, maternal health; HIV and AIDS etc. this unit seeks to bring to the impact of both the political, economic and social environment on such issues. The unit equally discusses the contribution of the major factors such as members of the political class and members of the bureaucratic class and how they formulate and implement policies.

### **2. Major contributors to public policy making and implementation**

Policy making is done at the strategic level while policy implementation is done at the Operational level of an organisation's hierarchy, and those who operate at the strategic Level particularly in government are members of the political class while members of the Bureaucratic class carries out activities at the operational level. This, therefore, presupposes that the public servant who naturally belongs to the bureaucratic class is not and should not consider himself as a policy maker. This position could submit itself to debate on two fronts. First, the public servant is a partner with the politician in the collaborative effort of policy-making; and secondly, it is the people who decide policy-not the policy servant or the politician. As earlier posted, public policy is a sanctioned

course of action addressed to a particular problem or group of related problems which affect society at large. Public policy-making, therefore, denotes the whole process of articulating and defining problems, formulating possible solutions into political demands, and channeling the demands into the political system. Seeking sanctions or legitimating of preferred courses of action, legitimating and implementation, monitoring and review (feedback), and who participates in what role in this process all depend to a great extent on the structure of political decision-making

## **Answer to SAEs 2**

### **1. Sub factors of political environment (TWO ONLY)**

**(i) Leadership Style:** The nature of public policy could lead to the emergence of political leadership that falls within either of the following – Autocratic (Military or Civilian Dictatorship style); Laissez-faire; and Democratic. Similarly, the type of leadership style can influence the type of policy making that a country or society is to embark upon. Campaigns against foreign goods, mandatory labour benefit legislation, kidnapping, terrorism, and civil wars. Actions taken by government such as regulatory, legal framework, and political changes may decrease business income and acts as barriers to foreign investment.

**(ii) Political System:** The nature of a political system could be as a result of the existing public policy. Thus, a political system could be Capitalist or Socialist; Multi-party or One-party (Unitary); Democratic or Autocratic; Civilian or Military. Once a particular policy is put in place, it could affect the perpetuity or otherwise of the country's political system. The only exception is where the people themselves are dissatisfied with a particular policy and call for a change. Sometimes, these changes come peacefully or violently through agitation and confrontation.

**(iii) Political Stability or Instability:** Certain obnoxious policies, could lead to political instability. Yet, we need political stability for orderly progress of the nation both socially and economically. The political instability which Nigeria has been witnessing since her independence can be attributed as the cause of the deplorable state in which the Nigerian citizen is living. There is however, a link between the political and economic environment which is why several studies have shown that the effort expended by multinational business managers in achieving their goal in Nigeria has not been very successful. Maintain that the successful performance of multinational companies depends to a great extent on the political environment of the host country. The multinational business managers in Nigeria operate in a dynamic political environment characterised by risks of multiple taxation, currency devaluation, inflation, repatriation, expropriation, confiscation.

## **MODULE 3      KEY ELEMENTS, POLICY AND DECISION MAKING THEORIES**

Unit 1	Tools of Policy-Making Analysis
Unit 2	Ecology of Public Policy Analysis
Unit 3	Public Policy Models
Unit 4	Theories of Public Policy Making
Unit 5	Theories of Decision-Making

### **UNIT 1      TOOLS OF POLICY-MAKING ANALYSIS**

#### **Unit Structure**

- 1.1 Introduction
- 1.2 Learning Outcomes
- 1.3 Operational tools for Policy Analysis
  - 1.3.1 Steps of Models as a tool of analysis
  - 1.3.2 System Analysis
- 1.4 Public Participation in Policy Making
  - 1.4.1 Dimension of Public Participation
  - 1.4.2 Principles of Public Participation in Decision Making
  - 1.4.3 Special Interest and Policy Making
    - 1.4.3.1 Criticism of public interest and policy making
  - 1.4.4 Policy Change and Policy Termination
- 1.5 Summary
- 1.6 Reference/Further Reading/Web Resources
- 1.7 Possible Answers to Self-Assessment Exercise(s) within the content



#### **1.1 Introduction**

Public policy has given us the basic understanding of the social issues which warrants every decision making towards solving the problem. In other word, the participatory process in decision making needs to be explored in order to systematically achieve the objective of the participants. Policy analysis involves the use of different types of modern management decision techniques and strategies, depending on the nature of the decisions to be taken. These techniques are largely different aspects and applications of system analysis including operational research; system engineering and networking analysis tools embracing programme evaluation and review techniques, and Critical Path Method, scheduling, planning and programme budgeting system, cost-benefit analysis and statistical methods. Others are scenario construction and paradigms, organization analysis, management by objectives and among other. 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 approach for solving problems and will lead to rational decision-making.

Furthermore, how do we operationalise tool for policy analysis? What is tool in analysis? And which method do we used for policy analysis? Again discussion continues as in the objective of this unit.



## **1.2 Learning Outcomes**

By the end of this unit, you will be able to,

- i) Discuss operational tools for policy analysis
- ii) Analyse the techniques of policy analysis
- iii) Demonstrate public participation in policy making
- iv) Evaluate Special Interest and Policy Making



## **1.3 Operational Tools for Policy Analysis**

Policies are use to effectively and efficiently manage organization in terms of growth and development. Therefore, the following are the operational tool for policy analysis.

### **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 forms of mathematical equations, computer programmes, management games, scenario, organizational charts, maps, charters, rules and regulations, standard procedures, budget documents, and among other 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 suitable to the various levels of qualification or use of judgment.

### **Self-Assessment Exercises 1**

1. List explain two tools of policy analysis.
2. What are the critics of public interest and policy making?

### **1.3.1 Steps of Models as a tool of Analysis**

Below are the steps of model of analysis

1. 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.
2. 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. People and computer models: involve a mix of people and all computer models in the overall structure of the situation being studied

4. Analytical models: take the form of sets of mathematical equations which are susceptible to mechanical solution;

### **1.3.2 System Analysis**

System analysis is a systematic approach to helping a decision-maker choose 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 as it is possible to bring expert judgment and intuition to bear on the problem. However, system analysis generates and presents information in order to improve the basis for decision makers to be able 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 in general, is ineffective where the problems to be solved are behavior oriented and perhaps, do not lend themselves to quantitative measurement. Its successful application has been impeded by the lack of the necessary skills. In other words, 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 could be categorized as follows,

1. Imprecise formulation and frequent and radical changes in the definition of national goals; this undermines the stability of policies
2. The dearth of reliable data
3. Alien foundation and orientation of the policy-making processes stemming in most cases from the influences of colonial administration of pre-independence days.

### **Scenario Construction**

This is a description of the conditions and an event under which a system is being studied which 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

### **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.

## **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.

## **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.

## **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.

## **Management By Objectives (MBO)**

Management techniques that emphasize 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.

## **1.4 Public Participation in Policy Making**

This is a belief that those to be affected by a decision or policy have the right to be involved in the process. By public participation, promotion and sustainability of decisions can be ascertained. According to Warren (1996), public participation creates room for democratic deliberation on decision making process. This allows several individuals' input and public inclusion in the activities on any project for the masses. Generally, public participation facilitates the involvement of the potential beneficiaries of decision making. Such revolves around public interest and decisions are influenced by public contributions.

### **1.4.1 Dimension of Public Participation**

In another development, public participation may be regarded as a strategy to empower the larger society in taking vital decision for the general public interest. This remains people centered or human centric principles in decision making process. The human centric perspective appears in the western democratic culture to allow peoples involvement in taking decisions in the areas of education, business and social services programmes. This is advanced to be a paradigm of people first which challenges the concept of „small is better“ that is commonly associated by elitist policy making projection. The significant of public participation in decision making was also emphasised in 1990 through the African Charter for Popular Participation in Development and Transformation held in Arusha, Tanzania. The Charter was endorsed by the Economic Commission for Africa and Sixteenth meeting of the Economic Commission for Africa Conference of Ministers responsible for Economic Planning and Development. The central concern to embrace public participation in decision- making is to enhance human development. This has led to the establishment of International Association for Public Participation. However, the contention has always been what constitutes public participation? How can public participation in decision-making be increased? In response to this, Dalton (2004) argues that the reduction in voters turn out in Western Europe was an indication of citizens' frustration in government policies. This was interpreted to be a gap between decision makers' policies and citizens' real needs, which might result to legitimacy crisis of the government.

### **1.4.2 Principles of Public Participation In Decision Making**

- i. Transparency: The government activities must be subjected to public scrutiny
- ii. Accessibility: Public information should be accessible to the people at any point in time
- iii. Responsiveness: The new demands from the people must be efficiently responded to by the government
- iv. Objectivity: the individual in charge of the decision making must be objective, fairness, and responsible to be able to effectively discharge organizational duty.

### **1.4.3 Special Interest and Policy Making**

The issue of interest in public policy is key and this creates room for contention of who actually benefits from a policy. For a policy to gain momentum among the decision makers, such policy tends to serve interest of specific stakeholders. The argument here is that no policy gets attention from the actors except it favours their interest. This leads to the question that, whose interest does a policy serve? Does a policy actually enjoy popular support? Be that as it may, special interest in decision making exposes the self centeredness of policy makers. Essentially, policy analyst needs to identify the salient interest a policy intends to serve. The more the populace lobbies their demands to suit the interest of the deciders, the better for decision making.

#### **1.4.3.1 Criticism of public interest and policy making**

1. It gives space for policy abuse and corruption.
2. The policy makers become autocrats
3. The principle of special interest in policy making defeats democratic tenets of accountability and transparency.
4. The special interest negates public interest

In the final analysis, for a good understanding of public policy, it is pertinent to understand the interest involved in a policy. This requires understanding the political dimension of decision making. Given this, one can situate the rationale behind allocation of values in the society

### **1.4.4 Policy Change and Policy Termination**

Policy termination is very significant in the areas of policy analysis. Termination means the end of something, conclusion or cessation, a result or outcome of something. Termination in public policy analysis can be seen as the deliberate stoppage or cessation of government policy or program. There is also partial termination of government program. In this scenario, government services are significantly or systematically redirected in order to justify its continuous existence. By the inclusion of termination option, it is an indication that a policy needs not to live longer and this calls for policy change. It means a policy objective has been reached and there is need to replace the policy with another one. So, the previous one would be terminated and new one designed to enhance policy change. Example is the problem of coronavirus that emanated from

China in 2019 which later transmitted to various countries in the world. Nigeria as a member of the World Health Organisation (WHO) through the Ministry of Health, and Nigeria Centre for Disease Control (NCDC) introduced a policy of social distancing among people in order to curb the spread of the virus. Such policy seemed to exist and became terminated when the fight against coronavirus was over and vaccine developed to tackle the infection. This indicates that social distancing as a policy was no more relevant and had to be changed. This called for further policy analysis hence the termination of old one.

## Self-Assessment Exercises 2

1. Discuss with illustration the policy change and policy termination



### 1.5 Summary

In this unit, attempts have been made by government to improve the contents of government decision making process, policies including analysis. There are various tools and techniques which are used in the planning, analysis, evaluation, demonstrate, as well as management of government policies and programmes. These tools are; system analysis, models, scenario construction, cost-benefit analysis, cost-effectiveness analysis, forecasting, path analysis and management by objectives. It is adopted to analyse and interpret choices in policy making. Furthermore, effort have been made to explained policy participation and the dynamics of decision making using the public participation, policy interest and policy changes as bedrock of understanding decision making. Student will be able to understand how to making decision, policies at the end their lecture.



### 1.7 References/Further Reading/Web Resources

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- Ikelegbe, A.O. (1994). *Public Policy-making and Analysis*. Benin-City: Uri Publishing Ltd. 86
- Warren, M.(1996) *Deliberative Democracy and Authority* Annual Review Political Science Vol 7.



### 1.7 Possible Answers to SAEs

## **Answer to SAEs 1**

### **1. List explain two tools of policy analysis**

#### **i) Scenario Construction**

This 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

#### **ii) 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.

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#### **iv) 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.

## **v) 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.

## **vi) Management By Objectives (MBO)**

Management techniques that emphasize 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.

## **2. critics of public interest and policy making**

- i). It gives space for policy abuse and corruption.
- ii). The policy makers become autocrats
- iii). The principle of special interest in policy making defeats democratic tenets of accountability and transparency.
- iv). The special interest negates public interest

In the final analysis, for a good understanding of public policy, it is pertinent to understand the interest involved in a policy. This requires understanding the political dimension of decision making. Given this, one can situate the rationale behind allocation of values in the society

## **Answer to SAEs 1**

### **1. illustration the policy change and policy termination:**

Policy termination as the name implies is very significant in the areas of policy analysis. Termination means the end of something, conclusion or cessation, a result or outcome of something. Termination in public policy analysis can be seen as the deliberate stoppage or cessation of government policy or program. There is also partial termination of government program. In this scenario, government services are significantly or

systematically redirected in order to justify its continuous existence. By the inclusion of termination option, it is an indication that a policy needs not to live longer and this calls for policy change. It means a policy objective has been reached and there is need to replace the policy with another one. So, the previous one would be terminated and new one designed to enhance policy change. Example is the problem of coronavirus that emanated from China in 2019 which later transmitted to various countries in the world. Nigeria as a member of the World Health Organisation (WHO) through the Ministry of Health, and Nigeria Centre for Disease Control (NCDC) introduced a policy of social distancing among people in order to curb the spread of the virus. Such policy seemed to exist and became terminated when the fight against coronavirus was over and vaccine developed to tackle the infection. This indicates that social distancing as a policy was no more relevant and had to be changed. This called for further policy analysis hence the termination of old one.

## UNIT 2 ECOLOGY OF PUBLIC POLICY ANALYSIS AND APPROACHES TO POLICY ANALYSIS

### Unit Structure

- 2.1 Introduction
- 2.2 Learning Outcomes
- 2.3 The Concept of Ecology
  - 2.3.1 Political factors
  - 2.3.2 Socio-Economic and Other Environmental Conditions
- 2.4 Approaches to Policy Analysis
  - 2.4.1 Descriptive Approach to the study of Policy Analysis
    - 2.4.1.1 Features of Descriptive Policy Analysis
    - 2.4.1.2 Descriptive approach report
  - 2.4.2 Prescriptive Approach
    - 2.4.2.1 Characteristics of Prescriptive Model
    - 2.4.2.2 Other method of public policy analysis
- 2.5 Summary
- 2.6 Reference/Further Reading/Web Resources
- 2.7 Possible Answers to Self-Assessment Exercise(s) within the content



### 2.1 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. Including the environment of which are such geographical characteristics natural resources, climate, and topography; demographical variables such as 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 will systematically explain ecological factors affecting the Public Policy Analysis, such as political factors Socio-economic and other environmental factors. We will also look at approaches to public policy using term of public policy to examine the aforementioned.

Before we move on is there any here that come across the word ecology of public policy analysis? What do you understand by the word analysis? And how do you analyse policy in an organization. We shall discuss in detail.



### 2.2 Learning Outcomes

By the end of this unit, you will be able to

- i) Understand the concept of ecology

- ii) Discuss Political Factors
- iii) Analyse Socio Economic factor and Environmental factors
- iv) Demonstrate descriptive approach to the study of policy analysis
- v) Evaluate prescriptive approach to the study of policy analysis.



## **2.3 The Concept of Ecology**

The term Ecology signify environment. This is associating with public policy meaning that there are environmental factors influencing public policy analysis. Among these factors are; environmental factors, political factors, and socio-economic factors within the public policy arena. We will look at each one of them sequentially.

### **2.3.1 Political factors**

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) 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, them 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, 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-know 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 democrat, individualism, and human Italianism-clearly have significance for policy-making. For example, the general approach of American 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 State, because there has been greater public expectation and acceptance of such programmes in western Europe.

### **Self-Assessment Exercises 1**

1. critically discuss Macro-Analytic Approach
2. What are the features of prescriptive model?

### **2.3.2 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. However, 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 Antitrust 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 devise acceptable policy solutions.

Dye (1976) 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, highways, 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.

## **2.4 Approaches to Policy Analysis**

### **2.4.1 Descriptive Approach to the Study of Policy Analysis**

This school of thought seeks to understanding public policy at the level of descriptions, explanation of government activities and policies. The focus here is on the history, development, causes, implementation, consequences as well as problems of public policies.

#### **2.4.1.1 Features of Descriptive Policy Analysis**

Descriptive approach has some characteristics with the public policy

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). In essence, this school of thought believes that public policy in this paradigm should be described and explained in the policy situation.

### **2.4.1.2 Descriptive approach report**

The approach investigates and reports on the typical behavior of policy makers. Consider a behavioural perspective, Pick a policy-making territory, Study particular cases, and Categorize observations. Report on cases and generalize observations, identifying methodologies in use therefore, it means that policies are made in different areas of behavior. The perspective taken in the analysis of policies is behavioural, and behavior observation which 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.

### **2.4.2 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 thee 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).

#### **2.4.2.1 Characteristics of Prescriptive Model**

It is analytical, emphasizing the generation of data analysis 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 addresses issues relevant to policy actors or that have been suggested by such actors.

Furthermore, 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 is evaluation aimed at improving the performances of the policies in vogue. The evaluative study could be prospective or retrospective.

1. It advocates policy options. This is done as a solution to policy problem addressed and is directed to improve social and societal well-being
2. Prescriptive studies tend to be more client-oriented; as they tend to addresses 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)

#### **2.4.2.2 Other method of Public Policy Analysis**

##### **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.

##### **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.

## 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 2

1. Explain what micro analytic approach is all about



### 2.5 Summary

In this unit, socio economic factors, political culture and other environmental factors were all explained. This will assist the students to adequately formulate and also understand which approach is suitable for policy formulation as we were able to use different approaches to analyse policies in different ramifications. Significantly, the school of thought is concerned on how to improve public policy outputs. It is concerned with the application of systematic knowledge, structured rationality, and 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.



### 2.6 References/ Further Reading/Web Resources

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## **2.7 Possible Answers to SAEs**

### **Answer to SAEs 1**

#### **1. 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.

#### **2. features of prescriptive model:**

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

- iv) 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.

## **Answer to SAEs 2**

### **1. 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.

## UNIT 3 PUBLIC POLICY MODELS AND THEORIES OF PUBLIC POLICY

### Unit Structure

- 3.1 Introduction
- 3.2 Learning Outcomes
- 3.3 Public Policy Models
  - 3.3.1 Bureaucratic Organizational Model
    - 3.3.1.1 Theoretical Approaches to the Bureaucratic Model
    - 3.3.1.2 Rational Comprehensive Model
  - 3.3.2 Element of Rational Comprehensive Model
    - 3.3.2.1 The Incremental Model
    - 3.3.2.2 Belief System Model
- 3.4 The System Theory
  - 3.4.1 Elite Theory
  - 3.4.2 Institutional Theory
  - 3.4.3 Window Theory and Group Theory
- 3.5 Summary
- 3.6 Reference/Further Reading/Web Resources
- 3.7 Possible Answers to Self-Assessment Exercise(s) within the content



### 3.1 Introduction

In unit two socio economic factors, political culture and other environmental factors were all explained. In other words, several theories, models, and methods will be use in approaching public policy analysis. However, the major schools of thought emerged as to what should be the approach to the study of public policy analysis. On the other hand, theories as well, have been incorporated as an ingredient to serve as a major to better policy analysis. Furthermore, various theories and models will be examined in the course of our discussion. This will systematically assist the students in all ramifications and to be able to analyse policy publicly or privately.

Originally, do you know what a theory is all about? And how do we use theories to analyse policy?



### 3.2 Learning Outcomes

By the end of this unit, you will be able to,

- i) Discuss bureaucratic institutional model of decision-making
- ii) Analyse the rational comprehensive model of decision-making
- iii) Demonstrate Incremental model of decision –making
- iv) Evaluate the belief system model of decision-making
- v) Analyse various theories of public policy



### **3.3 Public Policy Models Model**

#### **3.3.1 Bureaucratic Organisation Model**

This approach is propounded by Graham Allison in 1971. It combines two basic elements. The model tries to explain the role of organisational structure and the bureaucrats in decision making process. The model combines two theoretical approaches namely; organisational process theory and bureaucratic politics theory.

##### **3.3.1.1. Approaches to the Bureaucratic Model**

There Are Two Theoretical Approaches to the Bureaucratic Model

##### **1. Organisational Process Theory**

This theory explains the critical role of the organisational structure in decision making. It states that the values, assumptions and patterns of behaviours in an organisation determine to some extent how decisions are made in the organisation. It also stipulates that an organisational decision is a reflection of cultural affinity of the policy makers in the organisation. Nevertheless, the role of individuals is suppressed by the organisational structure.

##### **2. Bureaucratic Politics Theory**

This is talking about the power of bargaining between the employers and employee as the bedrock to arriving at decision making process. Therefore, decisions are made on the basis of negotiation and bargaining before arriving on a policy. This is a reflection of synthesis of the role of bureaucratic and organisational structure in public policy making.

#### **Self-Assessment Exercises 1**

1. There are two theoretical approaches to the bureaucratic model, discuss?
2. Discuss the various ways in which elite theory operate in the political system of the society?

##### **3.3.1.2 Rational Comprehensive Model**

The model is usually associated with Herbert Simon in his book „Administrative Behaviour“ published in 1945. The model is scientific analytical tool that carefully examine a policy before making a choice. According to Simon, human rationality is key to decision making process. And that every decision made is a careful logical reasoning of an administrative man.

#### **3.3.2 Element of Rational Comprehensive Model**

There are five element of rational comprehensive model. These are as follow;

1. 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.
2. The goals, values or objectives that guide the decision-maker are classified and ranked according to their importance
3. The various alternatives for dealing with the problems are examined
4. The consequence (Cost and benefits) that would follow from the selection of each alternatives are investigated. Each alternative and its attendant consequences can be compared with the other alternatives
5. 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. Beside, 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

### **3.3.2.1 The Incremental Model**

This model was popularized by Lindblom Charles in 1959. It was regarded as a rejoinder to the proposition of the rational comprehensive model. Unlike the rational model, the incremental model recognised the limitation of policy makers. The limited capacities of man was not factored in by the supporters of rational comprehensive model Also, the costliness analysis of rational model failed to realize that such might not be obtainable in some instances. However, the incremental model emphasizes that every policy is a slight variation of the existing policy and agenda of government. The model stipulates further that government is continuous and that policy makers do not want to make new policies except consolidation on existing ones. This is necessary due to the available resources, limited time and knowledge to evolve new policies. However, this model is believed to be conservative in its approach on decision making process. By the argument that new policy is a variation of the past decisions, the model sees incremental adjustment in the behaviours of decision makers. And by implication, policies made are marginal adjustment of the past decisions. This according to Sambo (1999) forgoes the rigorous process of canvassing for new policies by decision makers.

### **3.3.2.2 Belief System Model**

This model predicates changes in policy on the values. It seems policies made particularly in Nigeria are either not effective or lack implementation. This according to the model threatens the achievement of the goals of some policies. Successive governments in Nigeria seem to see public policy issues as a matter of political jamboree which can be played around with. Many promises are made by politicians, particularly during electioneering campaigns, and eventually find their ways into becoming public policies but government often lacks the political will to ensure the execution of such policies. At another level, lack of requisite data needed for effective national planning has

constituted an albatross to policy-making in Nigeria

### **3.4 The System Theory**

This theory is borrowed from the Biological Science in explaining life processes considering the contribution of each other towards the stability of the environment (Ham and Hill, 1985; Ebenezer, 2011). However, the theory was adopted and popularized by David Easton to the study of political system. This informs the basis to view public policy from the response of a political system as a result of the demands arising from its environment. Public policy simply indicates an interaction of the political system with environment forces brought to bear on it. According to Easton (cited in Sambo, 1999) a political system is that “system of interaction in any society through which binding and authoritative allocations are made.” Given this, public policy according to system theory is an output of the political system. This makes the political system formation to be based on input and output. The input into the political system from the environment consists 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. This generally revolves around request from the people on what action government is expected to take. 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. 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).

### **3.4.1 Elite Theory**

This theory sees policy making as a top bottom approach where power is concentrated in the hand of the powerful minority group known as elites that control the political space of the society. 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:

1. Society is divided into the few who have power and the many that do not. Only these small numbers of privileged persons allocate values for society, the masses do no decide public policy;
2. 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;
3. 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;
4. The elites share a consensus on the basic values of the social system and the preservation of the system;
5. 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;
6. 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. Therefore, 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.

### **3.4.2 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 behaviour 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 behaviour,

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.

### **3.4.3 Window Theory and Group Theory**

This theory which is also known as streams theory was propounded in 1995 by Kingdon. The assumption of the theory is that policy analysis requires the understanding of the three important streams.

#### **1. The Problem Stream**

In the problem stream, it involves the concentration of the policy makers and the peoples' attention on a social problem. Such problem can be resolved through an existing policy or allowing it to fade away.

#### **2. Political Stream**

The political stream according to Kingdon (1995), focuses on the level at which government agenda is formulated. This is essential because it captures the development of government policies. It should be noted that issues in problem stream may or may not reflect in the political stream. Before any issue can make government agenda, it must have been agreed on by the core players in the political stream. Those core participants are known as the visible clusters. They are the people visible at the political stage. For instance, the lawmakers, the interest groups, the media, the bureaucrats are related players. The main tool of the cluster members is bargaining.

#### **3. Policy Stream**

The third stream known as the policy stream involves the decision agenda of the government, and the development of different options that can be used to resolve issues rose in policy problem or those identified in the agenda of government. At this point, the activities of the hidden clusters become noticed and significant. Those are forces that influence the alternative policy that would eventually be chosen by government. According to Kingdon, those hidden clusters adopt the tool of persuasion as opposed to bargaining of the visible clusters. To Kingdon, government policies are formulated where and when these streams coverage. It is at the stage that we have a window. Whenever there is an opening of the window, then there is a change in government or policy

### **Group Theory**

According to the group theory of politics, public policy is the product of the group struggle and a negotiated agreement between government and pressure groups organised in a political community (Ham and Hill, 1985). This concurs with the perception of Dye (1976) that believes that interaction and struggle among group remains the central fact of political life. 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”. 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. Therefore, the concern of the political system, according to Thomas Dye (1976: 20), is to resolve group conflict by: (a) Establishing the rules of the game in the group struggle; (b) Arranging compromises and balancing interests; (c) Enacting compromises in the form of public policy; and (d) Enforcing these compromises

### **Self-Assessment Exercises 2**

1. Explain three (3) elements of rational comprehensive model.



### **3.5 Summary**

Theoretically, analysis of policy is one of the fundamental to the policy formulation. It enables us to difference application of public policy analysis. All the highlighted theories expose us to the effectiveness of basic analysis of public policy using theoretical

framework to explain what leads to a particular policy framework and why a given policy is formulated and applied. However, we were able to explain various theories as well as models in approaching public policy analysis.



### **3.7 References/Further Reading/Web Resources**

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### **3.7 Answer to SAEs**

#### **Answer to SAEs 1**

##### **1. theoretical approaches to the bureaucratic model:**

###### **i) Organisational Process Theory**

This theory explains the critical role of the organisational structure in decision making. It states that the values, assumptions and patterns of behaviours in an organisation determine to some extent how decisions are made in the organisation. It also stipulates that an organisational decision is a reflection of cultural affinity of the policy makers in the organisation. Nevertheless, the role of individuals is suppressed by the organisational structure.

###### **ii) Bureaucratic Politics Theory**

This is talking about the power of bargaining between the employers and employee as the bedrock to arriving at decision making process. Therefore, decisions are made on the basis of negotiation and bargaining before arriving on a policy. This is a reflection of synthesis of the role of bureaucratic and organisational structure in public policy making

## **2. ways in which elite theory operate in the political system of the society:**

This theory sees policy making as a top bottom approach where power is concentrated in the hand of the powerful minority group known as elites that control the political space of the society. 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:

1. Society is divided into the few who have power and the many that do not. Only these small numbers of privileged persons allocate values for society, the masses do no decide public policy;
2. 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;
3. 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;
4. The elites share a consensus on the basic values of the social system and the preservation of the system;
5. 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;
6. 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. Therefore, 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.

## **Answer to SAEs 2**

### **1. elements of rational comprehensive model (THREE ONLY)**

- 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 alternatives are investigated. Each alternative and its attendant consequences can be compared with the other alternatives
- v) The decision-maker will choose that alternative and its consequences that maximize the attainment of his goals, values and objectives.

## UNIT 5 THEORIES OF DECISION-MAKING

### Unit Structure

- 5.1 Introduction
- 5.2 Learning Outcomes
- 5.3 Rational Comprehensive theory
  - 5.3.1 Game Theory
  - 5.3.2 Expected Utility Theory
- 5.4 Attribution theory
  - 5.4.1 Affective Cues
  - 5.4.2 Attributing Causes to Behaviour
- 5.5 Summary
- 5.6 Reference/Further Reading/Web Resources
- 5.7 Possible Answers to Self-Assessment Exercise(s) within the content



### 5.1 Introduction

Decision making are significant which 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 theories which inform the various ways in which decisions are made. In this unit, we will discuss some of these decision-making theories in line with public policy analysis.



### 5.2 Learning Outcome

Student will be acquainted with the following at the end of the unit.

- i) Discuss Rational Comprehensive Theory
- ii) Analyse Game Theory
- iii) Demonstrate Expected Utility Theory
- iv) Evaluate Attribution Theory



### 5.3 Rational Comprehensive Theory

In the word of Johnson (2015), Rational Comprehensive Theory is a theoretical model of how public policy decisions are (or perhaps ought to be) taken, in which all possible options or approaches to solving the problem under study are identified and the costs and benefits of each option are assessed and compared with each other. The option that promises to yield the greatest net benefit is selected. The main problem with rational-comprehensive approaches is that it is often very costly in terms of time and other resources that must be devoted to gathering the relevant information. Often the costs and

benefits of the various options are very uncertain and difficult to quantify for rigorous comparison. The costs of undertaking rational-comprehensive decision making may themselves exceed the benefits to be gained in improved quality of decisions.

Rational comprehensive theory is one of the major streams in planning theory that has since been developed. It is based on a normative model which values higher rationality in the face of multiple Organisational and political pressures. (Grant, 1985) It can therefore be concluded that rational comprehensive theory has two main characteristics. The first is the aspect of rationality, having specific cognitive skills which can be mastered, coupled with administrative expertise and appropriate aesthetic understanding for the planner to study options and present worked solutions to decision makers for choice (Dror, 1968 in Grant, 1985). The second characteristic of the rational approach is comprehensiveness, the desire to analyse all rational alternatives available. According to Marios (1979). Comprehensiveness implies the following; an attempt to satisfy all goals of various interest groups present in a pluralistic democratic society that is to attain the general goals of the public interest (planning solutions that are of common benefit), and having a comprehensive view of a future desired state of affair, that is a view of a total utopian system for the future. It also refers to the idea of giving equal importance to all elements of the area of concern and the examination of these elements. Proponents of rational comprehensive planning thought that the more comprehensive the analyses of the problem were the better the plan would be. However, these assumptions are difficult to attain in real world. There are many barriers associated with rationality. In rational comprehensive theory, all information required for alternative decisions are not available. All alternatives cannot be possibly obtained and consequences predicted. Beside, most societal values do not reach the decision agenda because of powerful elites and interest.

### **Self-Assessment Exercises 1**

1. Discuss the courses of attribution to behaviors.
2. Expected utility theory.

### **5.3.1 Game Theory**

According to Margaret Rouse (2016), Game theory is the study of mathematical models of negotiation, conflict and cooperation between individuals, organisations and governments. It is a set of concepts aimed at decision making in situations of competition and conflict (as well as of cooperation and interdependence) under specified rules. Game theory employs games of strategy (such as chess) but not of chance (such as rolling a dice). A strategic game represents a situation where two or more participants are faced with choices of action, by which each may gain or lose, depending on what others choose to do or not to do. The final outcome of a game, therefore, is determined jointly by the strategies chosen by all participants. These are also situations of uncertainty because no participant knows for sure what the other participants are going to decide. The study has direct applications in contract theory, economics, sociology and psychology. Game theory is applied in various areas of study to understand why an individual makes a particular decision and how the decisions made by one individual affect others. The

application of game theory concepts and techniques to non-game activities is known as gamification. Game theory research involves studies of the interactions among people or groups of people. Because people make use of an ever-increasing number and variety of technologies to achieve desired ends, game theory can be directly applied in areas of negotiation, such as contract theory and indirectly applied in practical pursuits such as engineering, information technology and computer science. The so called games can range from simple personal or small group encounters or problems to major confrontations between corporations or superpowers. One of the principal aims of game theory is to determine the optimum strategy for dealing with a given situation or confrontation. This can involve such goals as maximising one's gains, maximising the probability that a specific goal can be reached, minimising one's risks or losses, or inflicting the greatest possible damage on adversaries. Game theory was first devised by John Von Neumann. Later contributions were made by John Nash, A. W. Tucker, and others.

### **5.3.2 Expected Utility Theory**

Decision making comes with high level of uncertainty which has resulted to a wide range of studies to at least cut down on these uncertainties. This search led to the introduction of several models and theories of decision making such as rational comprehensive and game Theory. However, their flaws have led to the coining of "Expected Utility Theory. Thus, expected utility theory is an account of how to choose rationally when you are not sure which outcome will result from your acts. Its basic slogan is: choose the act with the highest expected utility. The expected utility of an act is a weighted average of the utilities of each of its possible outcomes, where the utility of an outcome measures the extent to which that outcome is preferred, or preferable, to the alternatives. The utility of each outcome is weighted according to the probability that the act will lead to that outcome. The expected utility theory deals with the analysis of situations where individuals must make a decision without knowing which outcomes may result from that decision, this is, decision making under uncertainty. These individuals will choose the act that will result in the highest expected utility, being this the sum of the products of probability and utility over all possible outcomes. The decision made will also depend on the agent's risk aversion and the utility of other agents. The term expected utility was first introduced by Daniel Bernoulli who used it to solve the St. Petersburg paradox, as the expected value was not sufficient for its resolution.

### **5.4 Attribution Theory**

Some issues in public policy decision making in Nigeria like the Nigerian democracy and public policy making, the political parties and public policy making and the interest groups and public policy making as espoused by Okeke (2001) have raised questions why our elite and leaders cum official and institutional public policy makers behave the way they do. i.e., why the National assembly and the presidency will agree within a matter of days on how to be given life gratuity and pensions, whereas issues of making new or maintaining the existing federal roads have been an issue for more than decades without a sustained result. Why poverty and hunger have persisted while globally the country is

ranked as wealth. Why the 70 person of Nigerians who dwell in the rural areas depending on the farming for livelihood cannot get fertilizer at a subsidised rate. This state of deprivation and marginalisation has led to group coalition to pressure or aggregate their interest in order to influences public policy to be tilted if need be, to their favour. This process of coalition forming has been largely attributed to the attribution theory of decision of making which attempts to explain the world and to determine the cause of an event or behaviour (e.g. why people do what they do). Fundamentally, attribution theory is concerned with how individuals interpret events and how this relates to their thinking and behaviour. Heider (1958) was the first to propose a psychological theory of attribution, but Weiner and colleagues (Jones et al, 1972; Weiner, 1974, 1986) developed a theoretical framework that has become a major research paradigm of social psychology. Attribution theory assumes that people try to determine why people do what they do, i.e., attribute causes to behaviour. A person seeking to understand why another person did something may attribute one or more causes to that behaviour. A three-stage process underlies an attribution: (1) the person must perceive or observe the behaviour, (2) then the person must believe that the behaviour was intentionally performed, and (3) then the person must determine if they believe the other person was forced to perform the behaviour (in which case the cause is attributed to the situation) or not (in which case the cause is attributed to the other person).

The process by which group members form alliances or coalitions as mentioned earlier has been studied by game theorists (von Neumann & Morgenstern, 1944) social psychologists (Caplow, 1956), and political scientists (Riker, 1962). In addition, as organisational theorists began to view work organizations as political entities (Cyert & March, 1963), they also became more interested in coalition formation. It became clear that organizational goals and policies changed as coalitions formed, were able to dominate organisations, and were eventually replaced by other coalitions. In fact, some researchers (Gamson, 1961) have suggested that coalitions are formed with exactly these purposes in mind: influencing goals, policies, and the allocation of resources in the organisation. As such, it is not surprising that Duncan (1976) argues for the importance of coalitions as a topic for organisational research. Such research, however, is still at an infantile stage, with researchers concentrating on such variables as cohesion among coalition members (Meltz, 1967) and the political ideology of coalitions (Lipset & Rokkan, 1967) rather than on how coalitions are formed. The more basic questions would seem to be concerned with how people come to be included in coalitions, especially if attention is focused on the strongest, or dominant, coalition in the organisation. It therefore seems reasonable to study the way that the people involved in coalition formation believe their coalitions were formed; that is, how they explain why some people became members of a dominant coalition and others did not. Some insight into this issue of dominant coalition memberships may be provided by attribution theory, which Kelley has defined as the "process by which an individual interprets events as being caused by a particular part of an environment" (1967). Attribution research, then, is concerned with the "why" of events, and it can be useful in exploring how managers explain membership (or non-membership) in dominant coalitions. In addition to offering possible causes of events and describing how people come to choose one explanation or another, attribution theory suggests consequences of attributing an event to the different

causes. For example, Weiner and his associates (Weiner, Frieze, Kukla, Reed, Rest, & Rosenbaum, 1971) suggest four basic causal explanations for success or failure in any endeavour: ability or skill, effort, the nature of the task, and luck. Others (Fitch, 1970; Weiner & Kukla, 1970) have reported a tendency to attribute success to two of these causes the internal causes of ability and effort. They further report a tendency to attribute failure to external causes i.e., forces beyond the respondent's control, such as the nature of the task and luck. This coalition formulation is vital in understanding who gets what, how and when; the core issue in policy decision making of every society.

### **5.4.1 Affective Cues**

Sometimes we use our internal state as a basis for judging other people, and this can lead to systematic errors. When people are emotional, they are more likely to attend to emotional information and use that in their impression. Let us cite an example to drive the point home. When we are aroused, we tend to perceive other people in a more extreme manner than when we are not aroused (Stangor, 1990 cited in Taylor et. al. 2000). If you have just finished playing a table tennis game and you meet someone who strikes you as sleazy, your impression of the person as sleazy is likely to be more extreme than if you met the person having just come from reading a book. Mood is another factor that can influence how another person is perceived. When we are in a good mood, we tend to see another person more positively, and when we are in a bad mood, we tend to view that person more negatively (Taylor, Peplau & Sears, 2000). The effects of mood appear to be stronger for judgments about unusual people than for more ordinary individuals. The reason is that unusual people elicit extensive processing; therefore more information is available, and there is a longer time for mood to have an influence (Forgas, 1992).

Mood may influence not only the content of impressions we form of others, but also the process we use in forming them. A negative mood makes people more likely to use piecemeal processing in impression formation than categorical processing, even when categorical information is available to them.

### **5.4.2 Attributing Causes to Behaviour**

One of the most important influences we make about other people is why they behave as they do. What causes one individual to be shy at a party and another to be outgoing? What prompts a romantic breakup between two people who had seemed so close? Attribution theory is the area of psychology concerned with when and how people ask 'why' questions. Theorizing about causal attributions that is, how and why people infer what causes what began with Heider (1958 cited in Taylor et. al. 2000). He argued that all human beings have two strong motives: the need to form a coherent understanding of the world and the need to control the environment. In order to achieve understanding and control, we need to be able to predict how people are going to behave. Otherwise, the world is random, surprising, and incoherent.

We are especially likely to make causal attribution when something unexpected or

negative events create a need for greater predictability (Kanazawa, 1992, cited in Taylor et. al. 2000). To illustrate this point, researchers talked with distressed married couples who had come to a clinic for marital therapy. Each person was asked to list positive and negative events that had happened in their marriage and to indicate how frequently those events occurred. They were then asked their thoughts about the events, which were coded for the presence of causal attributions. The researchers found that the most attributional thoughts were made about the most distressing event: their partner's frequent negative behaviours or infrequent positive behaviours (Holtzworth et. al. 1985).

## Self-Assessment Exercises 2

1. Explain game theory.



### 5.5 Summary

Rational-comprehensive decision-making theory has been seen as a theoretical model of how public policy decisions are (or perhaps ought to be) taken. It emphasized that all possible options or approaches to solving the problem under study are identified and the costs and benefits of each option are assessed and compared with each other. Game theory is "the study of mathematical models of conflict and cooperation between intelligent rational decision-makers". Expected utility theory is an account of how to choose rationally when you are not sure which outcome will result from your acts. Its basic slogan is: choose the act with the highest expected utility. And Attribution theory deals with how the social perceiver uses information to arrive at causal explanations for events. It examines what information is gathered and how it is combined to form a causal judgment" these are explanations on how to look at decision making press and policies made.



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## 5.7 Possible Answers to SAEs

### Answer to SAEs 1

#### 1. Causes of attribution to behaviors:

One of the most important influences we make about other people is why they behave as they do. What causes one individual to be shy at a party and another to be outgoing? What prompts a romantic breakup between two people who had seemed so close? Attribution theory is the area of psychology concerned with when and how people ask ‘why’ questions. The need to form a coherent understanding of the world and the need to control the environment. In order to achieve understanding and control, we need to be able to predict how people are going to behave. Otherwise, the world is random, surprising, and incoherent. We are especially likely to make causal attribution when something unexpected or negative events create a need for greater predictability. To illustrate this point, researchers talked with distressed married couples who had come to a clinic for marital therapy. Each person was asked to list positive and negative events that had happened in their marriage and to indicate how frequently those events occurred. They were then asked their thoughts about the events, which were coded for the presence of causal attributions. The researchers found that the most attributional thoughts were made about the most distressing event: their partner’s frequent negative behaviours or infrequent positive behaviours.

#### 2. Expected utility theory:

Expected utility theory is an account of how to choose rationally when you are not sure which outcome will result from your acts. Its basic slogan is: choose the act with the highest expected utility. The expected utility of an act is a weighted average of the utilities of each of its possible outcomes, where the utility of an outcome measures the extent to which that outcome is preferred, or preferable, to the alternatives. The utility of each outcome is weighted according to the probability that the act will lead to that outcome. The expected utility theory deals with the analysis of situations where individuals must make a decision without knowing which outcomes may result from that decision, this is, decision making under uncertainty. These individuals will choose the act that will result in the highest expected utility, being this the sum of the products of probability and utility over all possible outcomes. The decision made will also depend on

the agent's risk aversion and the utility of other agents. The term expected utility was first introduced by Daniel Bernoulli who used it to solve the St. Petersburg paradox, as the expected value was not sufficient for its resolution.

## **Answer to SAE 2**

### **1. Explain game theory:**

Game theory is the study of mathematical models of negotiation, conflict and cooperation between individuals, organisations and governments. It is a set of concepts aimed at decision making in situations of competition and conflict (as well as of cooperation and interdependence) under specified rules. Game theory employs games of strategy (such as chess) but not of chance (such as rolling a dice). A strategic game represents a situation where two or more participants are faced with choices of action, by which each may gain or lose, depending on what others choose to do or not to do. The final outcome of a game, therefore, is determined jointly by the strategies chosen by all participants. These are also situations of uncertainty because no participant knows for sure what the other participants are going to decide. The study has direct applications in contract theory, economics, sociology and psychology. Game theory is applied in various areas of study to understand why an individual makes a particular decision and how the decisions made by one individual affect others. The application of game theory concepts and techniques to non-game activities is known as gamification.

## **MODULE 4          PLANNING AND PUBLIC POLICY ANALYSIS**

Unit 1	Concept and Strategies of Planning
Unit 2	Phases in Public Policy Analysis
Unit 3	Planning, Programming and Budgeting System
Unit 4	Networking in Public Policy Analysis
Unit 5	Planning in Third World Countries

### **UNIT 1          CONCEPT AND STRATEGIES OF PLANNING**

#### **Unit Structure**

- 1.1 Introduction
- 1.2 Learning Outcomes
- 1.3 Meaning of planning
  - 1.3.1 Characteristics of Planning
  - 1.3.2 Administrative Planning Machinery and Structure
  - 1.3.3 Planning process and Strategies
    - 1.3.3.1 Major Processes of Planning
    - 1.3.3.2 Relationships between Planning and Policy Analysis
- 1.4 Analyzing Existing Situations
- 1.5 Summary
- 1.6 Reference/Further Reading/Web Resources
- 1.7 Possible Answers to Self-Assessment Exercise(s) within the content



#### **1.1 Introduction**

In the last unit we were able to discuss different type of theories and how we used theories to analyse policy in the area of public policy analysis. In this unit, organization need to know what sort of people they should have, how many people they need in order to meet present and future business requirements, this is the function of Administrators or workforce planning unit as sometime referred to as public sector. In this unit, we will discuss the concept and strategies of planning, the relationship between planning and public policy including features and functions of planning. Now, what is planning, who understand what strategies is all about or how do we use strategies to analyse policy?



#### **1.2 Learning Outcome**

By the end of this unit, you will be able to,

- i) Understand the concept of planning
- ii) Analyse the processes and strategies of planning
- iii) Demonstrate the relationships between planning and public policy analysis
- iv) Evaluate the process of planning



## 1.3 Meaning of Planning

Planning is the preparation for action. It is an inherent part of individual and of co-operative or collective endeavour. In the word of Dimock, (1983), 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) 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.

### Self-Assessment Exercises 1

1. Discuss the major processes of planning.
2. Explain administrative planning machinery and structure.

### 1.3.1 Characteristics of Planning

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

- (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.

### **1.3.2 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.

### **1.3.3 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.

#### **1.3.3.1 Three Major Processes of Planning**

##### **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.

##### **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.

##### **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.

### **1.3.3.2 Relationships between Planning and Policy Analysis**

Planning and policy analysis have their areas of commonalities (Olaniyi, 1998).

- (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.

## **1.4 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.

### **1.4.1 Generating New Policy Option**

The then Fashola Administration budgeted N16.4 billion in its first year to resuscitate the healthcare sector, but the actual expenditure was however N12.1 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.

### 1.4.2 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 palate corrective surgery and breast, prostate and cervical cancer awareness.

### Self-Assessment Exercise 2

1. Explain the concept of planning.



### 1.5 Summary

In this unit, the concept of planning, the relationship between planning and public policy as well as the strategies of planning will be articulated. In order words, 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.



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## **1.7 Possible Answers to SAEs**

### **Answer to SAEs 1**

#### **1. major processes of planning:**

##### **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.

## **2. Explain 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.

## **Answer to SAEs 2**

### **1. Explain the concept of planning**

Planning is the preparation for action. It is an inherent part of individual and of co-operative or collective endeavour. In the word of Dimock, 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. Planning from the political point of view, 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.

## UNIT 2      PHASES OF PUBLIC POLICY ANALYSIS

### Unit Structure

- 2.1 Introduction
- 2.2 Learning Outcomes
- 2.3 Phases of Public Policy
  - 2.3.1 Making a Choice Phase
  - 2.3.2 Analyzing Existing Situations
    - 2.3.2.1 Generating New Policy Option
    - 2.3.2.2 Implementation of the Policy Chosen Option
- 2.4 Generating New Policy Option
  - 2.4.1 Evaluating the Policy Options
  - 2.4.2 Generating New Policy Option
- 2.5 Summary
- 2.6 Reference/Further Reading/Web Resources
- 2.7 Possible Answers to Self-Assessment Exercise(s) within the content



### 2.1 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 phases, the policy analysis which is recognized within the interaction. We will also continue our discussion by looking at the policy option, policy chosen option as well as exiting situation in public arena.



### 2.2 Learning Outcomes

At the end of this unit, you will be able to;

- i) Discuss different phases of public policy
- ii) Analyse the system of policy analysis which requires interaction between the policy makers and analyst
- iii) Demonstrate Existing Situations
- iv) Evaluate New Policy Option
- v) Understanding of the Policy Chosen Option



### 2.3 Phases of Public Policy

Despite of the nature, type, form, as well as the level of policy to be analyzed, three inter-related steps are required for policy to be analyse

## **Three Phases of Public Policy**

### **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.

### **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.

### **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

### **Self-Assessment Exercises 1**

1. Discuss 'Design' as one of the phases of public policy analysis
2. Explain the implementation of the policy chosen option

### **2.3.1 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

### **2.3.2 ANALYZING 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.

#### **2.3.2.1 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 N12.1 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 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.

### **2.3.3.2 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 palate 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.

## 2.4 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.

### 2.4.1 Evaluating the Policy Options

It could be observed that this policy actually covers almost all the possible focus on the 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.

### 2.4.2 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.

## Self-Assessment Exercises 2

1. Critically evaluate the system of Policy Options.



## 2.5 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. measuring the consequences of public policies. Furthermore, 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 unit, some of the phases of policy analysis including existing policy option and other policies issues were all examine.



## **2.6 References/Further Reading/Web Resources**

- Anderson, J.E. (2003). Public Policy-making, 5<sup>th</sup> Edition. New York: Houghton Mifflin Company.
- Dibie, R. (2000). Understanding Public Policy in Nigeria: A Twenty-First Century Approach. Lagos: Mbeyi & Associates (Nig) Ltd.
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## **2.7 Possible answers to SAEs**

### **Answers to SAEs 1**

#### **1. 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.

#### **2. Explain the 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.

### **Answer to SAEs 2**

1. Critically evaluate the system of Policy Options:

It is observed that this policy actually covers almost all the possible focus on the 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

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

### **Unit Structure**

- 3.1 Introduction
- 3.2 Learning Outcomes
- 3.3 Concept of Planning, Programming and Budgeting System
  - 3.3.1 Elements of PPBS
  - 3.3.2 The integral Components of PPBS
- 3.4 Planning and Budgeting
  - 3.4.1 Comprehensive Planning and Budgeting System
    - 3.4.1.1 Applicability of PPBS in Nigeria
    - 3.4.1.2 Merit of PPBS
  - 3.4.2 Cost-Benefit Analysis
    - 3.4.2.1 Cost-Effectiveness Analysis (CEA)
    - 3.4.2.2 comparing cba and cea similarities
- 3.5 Summary
- 3.6 Reference/Further Reading/Web Resources
- 3.7 Possible Answers to Self-Assessment Exercise(s) within the content



### **3.1 Introduction**

In the previous unit, some of the phases of policy analysis including existing policy option and other policies issues were all examine. However, budgeting system 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 will discuss the components of PPBS, the advantages and disadvantages as well as it applicability to Nigeria situation. Consequently, who have ever heard the word budgeting or what is the acronym of PPBS?



### **3.2 Learning Outcomes**

By the end of this unit, you will be able to,

- i) Understand the concept of PPBS
- ii) Discuss elements of PPBS
- iii) Demonstrate merits and demerits
- iv) Evaluate it applicability to Nigeria situation



### **3.3 Concept of Planning Programming and Budgeting System**

Planning programming and budgeting system 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. 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

### **3.3.1 Elements of PPBS**

**There are five elements of PPBS. These are as follow,**

1. A program structure - a classification of the courses of action open to an organization for attaining its objectives;
2. An approved program document that includes precise, quantitative data on needs, resource inputs, and program outputs extending a number of years into the future;
3. A decision-making process that establishes the functions, rules, and timetables for the actions required by the PPBS;
4. An analysis process for measuring effectiveness and for weighing alternatives; and
5. An information system that supplies the data required to implement the system

### **2.3.2 The integral Components of PPBS**

- a. Setting of specific objectives
- b. Systematic analysis to clarify objectives and to assess alternative ways of meeting them.
- c. Establishing resource requirements for each alternative
- d. The framing of budgetary proposals in terms of programmes directed towards the achievement of the objectives;
- e. The projection of the costs of these programmes for a number of years in the future.
- f. Estimating benefits to be gained from each programme alternative in terms of probable outcome;
- g. The formulation of plans of achievement on yearly basis for each programme and
- h. Testing the long-range fiscal implication of the plan by analyzing both direct and indirect costs;
- i. Evaluating the annual budget
- j. Evaluating the success with which programme benefits are achieved;
- k. Revising planning standards; and
- l. Repeating the cycle to accommodate changes and objectives, goals, available resources and the institution/agency's environment.
- m. 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).

### **Self-Assessment Exercises 1**

1. Explain two merit and demerit of PPBS
2. Discuss the comprehensive planning and budgeting system

### **3.4 Planning and Budgeting**

#### **3.4.1 Comprehensive Planning and Budgeting System**

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 following below,

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

##### **3.4.1.1 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 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).

##### **3.4.1.2 Merit 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

## **Disadvantages of PPBS**

- 1) PPBS are 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 officers, 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

### **3.4.2 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.

#### **3.4.2.1 Cost-Effectiveness Analysis (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.

### **3.4.2.2 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

### **Differences of CBA and CEA**

- (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

### **Self-Assessment Exercise 2**

1. Define planning and itemize the five elements of PPBS



### **3.5 Summary**

PPBS are 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. In this unit we have look at budgeting system, it applicability including merits and demerits.



### **3.6 References/Further Reading/Web Resources**

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

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



### **3.7 Answer to Possible SAEs**

#### **Answer to SAEs 1**

#### **1. Explain merit and demerit of PPBS (TWO EACH)**

##### **Advantages of PPBS**

- i) Clearer definition of objectives and strategies
- ii) Enhancement of the flow of information and about inputs and expected outputs
- iii) Facilitating the skills and knowledge of budget officers in the analysis of the factors associated with informed decision
- iv) It is useful for capital budgeting

##### **Disadvantages of PPBS**

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

#### **2. Discuss the comprehensive planning and budgeting system:**

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 following below,

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

### **Answer to SAEs 2**

1. Define planning and itemize the five elements of PPBS:

Planning programming and budgeting system 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. 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.

### **Elements of PPBS**

- 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

## UNIT 4      NETWORKING IN PUBLIC POLICY ANALYSIS

### Unit Structure

- 4.1 Introduction
- 4.2 Learning Outcomes
- 4.3 Meaning of Network Analysis
  - 4.3.1 Network Diagram Construction
  - 4.3.2 Forms of Networking
  - 4.3.3 Origin and Meaning of CPM
    - 4.3.3.1 Basic Technique of CPM
    - 4.3.3.2 Two Point of CPM
- 4.4 Determining the Criteria Path
- 4.5 Summary
- 4.6 Reference/Further Reading/Web Resources
- 4.7 Possible Answers to Self-Assessment Exercise(s) within the content



#### 4.1 Introduction

In the last unit look at PPBS as part of comprehensive planning and budgeting system which unifies the entire organizations in terms of coordinating the entire activities and functions of the organization. In this unit Critical Path Method (CPM) is a project modeling technique. It is commonly used with all forms of projects. Any project with interdependent activities can apply this technique of mathematical analysis. The term is generally applied to any approach used to analyze project network logic diagram. In other words, 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 collaboration with Critical Path Method (CPM). In this unit, we will explain the critical path method and its analysis using techniques of policy analysis. Nevertheless, what is networking in organization? How do we networking in public policy. These will be breaking into different categories as we discuss further.



#### 4.2 Learning Outcome

By the end of this unit, you will be able to,

- i) Discuss different forms of network analysis
- ii) Analyse how to construct network diagram
- iii) Demonstrate how to use network techniques to execute build appropriate scheduling, evaluate monitoring and control of policies or programmes



### **4.3 Meaning of 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 projects. Examples of sophisticated forms of networking are as follows: Critical Path Method (CPM); Programme Evaluation; and Review Technique (PERT).

#### **4.3.1 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.

#### **Self-Assessment Exercises 1**

1. Discuss the Basic Technique of CPM.
2. Analyse the Forms of Networking in the policy analysis.

#### **4.3.2 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 defense, software development, research projects, product development, engineering, and plant maintenance, among others. Any project with interdependent activities can apply this method of mathematical analysis. In other words, 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.

### **4.3.3 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.

#### **4.3.3.1 Basic Technique of 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.

#### **4.3.3.2 Two Point of CPM**

Once you have drawn the CPM chart, it draws your attention to two points, tis is shown below,

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.

#### 4.4 Determining the Critical Path

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

CRITICAL PATH = 1-3-4-7-8-9-End = 47 days (Longest duration) At Critical path, the slack period is zero.

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

**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.

##### 4.4.1 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

##### 4.4.2 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 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).

## Self-Assessment Exercises 2

1. What is networking analysis



## 4.5 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. In this unit, different method or techniques has been applied to see the success of policy analysis.



## 4.6 References/Further Reading/Web Resources

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## 4.8 Possible Answers to SAEs

### Answer to SAEs 1

#### 1. Discuss the Basic Technique of CPM

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 managements. 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.

## **2. Analyse the Forms of Networking in the policy analysis:**

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 defense, software development, research projects, product development, engineering, and plant maintenance, among others. Any project with interdependent activities can apply this method of mathematical analysis. In other words, 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

### **Answer to SAEs 2**

#### **1. What is networking 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).

## UNIT 5      PLANNING IN THIRD WORLD COUNTRIES

### Unit Structure

- 5.1 Introduction
- 5.2 Learning Outcomes
- 5.3 Conceptualizing Planning in the Developing Countries
  - 5.3.1 Pre-Requirements for Effective Planning
  - 5.3.2 Problems of Planning in the Third World Countries
- 5.4 Models in Third World Countries
  - 5.4.1 Decision Making Model
    - 5.4.1.1 Rational Comprehensive Model
    - 5.4.1.2 Simon's Satisfying Decision-Making Model
  - 5.4.2 Incremental Model of Decision Making
    - 5.4.2.1 Elements of Incremental Model
    - 5.4.2.2 Mixed-Scanning Model of Decision-Making
- 5.5 Summary
- 5.6 Reference/Further Reading/Web Resources
- 5.7 Possible Answers to Self-Assessment Exercise(s) within the content



### 5.1 Introduction

In our previous unit we discuss CPM as project modeling technique. Any project with interdependent activities can apply this method of mathematical analysis. In this unit we will discuss Planning which 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. Socio economic development, including the model of policy making in the third world countries. Then, what are third world countries? Which of the continent fall within the third world countries?



### 5.2 Learning Outcomes

By the end of this unit, you will be able to,

- i) Understand the concept planning in a develop countries
- ii) Discuss the pre-requisites for effective planning
- iii) Analyse socio-economic development
- iv) Demonstrate some of the limitations for effective planning
- v) Evaluate models of policy-making



## 5.3 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.

On the other hand, 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

### Self-Assessment Exercises 1

1. Explain the concept of Planning in the developing countries?
2. Enumerate and discuss two (2) problems of planning in the third world countries?

#### 5.3.1 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.

## **5.3.2 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 formulated 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.

## **5.4 Models in Third World Countries**

### **5.4.1 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 be best described as follows;

1. In choosing between alternatives, managers attempt to satisfy to look for the one which is satisfactory or good enough". Examples of satisfying criteria would be share of the market, adequate profit and four prices.
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 "satisfy" 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 satisfying because he does not have the ability to maximize.

In other words the administrative man (decision-maker) satisfied by searching until he/she finds an option which appears to terrible 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, the 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.

#### **5.4.1.1 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 alternatives 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. Beside, 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.

#### **5.4.1.2 Simon's Satisfying 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 prices.
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) satisfice 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.

## 5.4/2 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.

### 5.4.2.1 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

#### **5.4.2.2 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

#### **Self-Assessment Exercise 2**

1. Itemize two pre-Requirements for Effective Planning in developing countries?



#### **5.5 Summary**

Planning and policy analysis are inter-related. Planning sets the stage for meaningful analysis which will further result to development. 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.



#### **5.6 References/Further Reading/Web Resources**

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## **5.7 Possible Answers to SAEs**

### **Answer to SAEs 1**

#### **1. Meaning of Planning:**

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

#### **2. Enumerate and discuss two (2) problems of planning in the third world countries (TWO ONLY)**

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 formulated 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.

## **Answer to SAEs 2**

### **1. Pre-Requirements for Effective Planning in developing countries:**

#### **(i) 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.

#### **(ii) 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.

### **(iii) 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

### **(iv) 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.

### **(v) 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.

### **(vi) 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.

## **MODULE 5            PUBLIC POLICY TECHNIQUES AND EVALUATION**

Unit 1	Techniques in Public Policy Analysis
Unit 2	Determinants of Policy Success or Failure
Unit 3	Dynamics of Policy Formulation, Implementation and Evaluation
Unit 4	Environmental Impact of Policy Making and Implementation
Unit 5	Challenges of Policy Analysis

### **UNIT 1: TECHNIQUES IN PUBLIC POLICY ANALYSIS**

#### **Unit Structure**

- 1.1 Introduction
- 1.2 Learning Outcomes
- 1.3 System Analysis
  - 1.3.1 Cost-Benefit Analysis
  - 1.3.2 Cost-Effectiveness Analysis
  - 1.3.3 Critical Path Method
    - 1.3.3.1 Comparing Cost Benefit Analysis and Cost Effective Analysis
    - 1.3.3.2 Critiques of Cba and Cea
- 1.4 Programme Evaluation and Review Technique
  - 1.5.1 Planning, Programming, Budgeting System (PPBS)
  - 1.5.2 Management by Objectives (MBO)
- 1.5 Summary
- 1.6 Reference/Further Reading/Web Resources
- 1.7 Possible Answers to Self-Assessment Exercise(s) within the content



#### **1.1 Introduction**

In the last unit we look at Planning and policy analysis which are inter-related. Planning sets the stage for meaningful analysis which will further result to development here in this unit, 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, organisation analysis, management-by-objectives and among other. 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. Now who evaluate policy? What is policy evaluation?



## 1.2 Learning Outcomes

By the end of this unit, you will be able to,

- i) Discuss system analysis
- ii) Analyse the operational research tools for policy analysis
- iii) Demonstrate the basic tools and techniques of policy analysis



## 1.3 System Analysis

System analysis is a systematic approach to helping a decision-maker choose 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 behaviour-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;

- i. Imprecise formulation and frequent and radical changes in the definition of national goals; this undermines the stability of policies;
- ii. The dearth of reliable data.
- iii. Alien foundation and orientation of the policy-making processes, stemming in most cases from the influences of colonial administration of pre- independence days

### Self-Assessment Exercises 1

- 1. Critically explain management by objectives in policy making.
- 2. Discuss Programme evaluation and review technique (PERT)

### 1.3.1 Cost-Benefit Analysis

It is an analytical technique for analysing 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.

### **1.3.2 Cost-Effectiveness Analysis**

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 emphasises net social benefit, while the latter emphasizes least cost of alternative or higher benefits (Ikelegbe, 1996). Cost effectiveness requirements are based on the realisation 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 utilise 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 (Ikelegbe1996). 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 is a way to compare the worth or benefit for a particular cost of achieving certain effectiveness for one goal with that of another

### **1.3.3 Critical Path Method (CPM)**

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 analyse 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.

Derivatively, 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 programme and approach is no longer used, the term is generally applied to any approach used to analyse a project network logic diagram. 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

#### **1.3.3.1 Comparing Cost Benefit Analysis and Cost Effective Analysis**

- (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

#### **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 Utilisation is difficult because of the quantification or monetisation or enumeration of the benefits of the programme or its alternative.

### **1.3.3.2 Critiques of Cba and Cea**

It has 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 analysed. 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 Organisational 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 spill over, secondary and tertiary effects. These are costs and benefits that affect parties other 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 spill over 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 spill over 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 re-distribution

## **1.4 Programme Evaluation and Review Technique (PERT)**

The Programme Evaluation and Review Technique (PERT) is a statistical tool, used in project management that is, designed to analyse 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.

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. It is a planning and control technique based on network analysis. It is used for planning and organising tasks and activities in relation to programme completion. PERT can be used to analyse 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.

#### **1.4.1 Planning, Programming, Budgeting System (PPBS)**

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. PPBS constitute five following elements:

- (i) A program structure – a classification of the courses of action open to an organisation 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 are 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 organisation.

### 1.4.2 Management by Objectives (MBO)

It is management techniques that emphasises establishing, clarifying and operationalising objectives, such that different sets of activities operations and personnel within the organisation 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 organisation 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 Exercises 2

1. Differentiable between cost benefit analysis and cost effective analysis



### 1.5 Summary

For so many 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 cost- benefits analysis, cost effectiveness analysis, forecasting, path analysis and management by objectives. These tools are adopted to analyse and rationalise the choices in policy making. These will assist the students in policy making operationally.



### 1.6 References/Further Reading/Web Resources

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## **1.7 Possible Answers to SAEs**

### **Answer to SAE 1**

#### **1. Critically explain management by objectives in policy making:**

It is management techniques that emphasizes establishing, clarifying and operationalising objectives, such that different sets of activities operations and personnel within the organisation 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 organisation 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.

#### **2. Programme evaluation and review technique (PERT):**

The Programme Evaluation and Review Technique (PERT) is a statistical tool, used in project management which is, designed to analyse 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

### **Answer to SAEs 2**

#### **1. Differentiable between cost benefit analysis and cost effective analysis**

Cost benefit analysis is an analytical technique for analysing 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

While cost effective analysis is tools 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 emphasises net social benefit, while the latter emphasizes least cost of alternative or higher benefits. Cost effectiveness requirements are based on the realisation of the obvious difficulties of quantifying and monetizing the benefits of public policy programmes.



## **UNIT 2      PUBLIC POLICY ANALYSIS**

### **Unit Structure**

- 2.1 Introduction
- 2.2 Learning Outcomes
- 2.3 The Concept of Public Policy Analysis
- 2.4 Importance of Public Policy Analysis
  - 2.4.1 Steps for a Successful Policy Analysis
  - 2.4.2 Stages of Public Policy Analysis
  - 2.4.3 Determinants of Policy Success and Failure
- 2.5 Summary
- 2.6 Reference/Further Reading/Web Resources
- 2.7 Possible Answers to Self-Assessment Exercise(s) within the content



### **2.1 Introduction**

In the unit five of five modules we discuss several attempts by government to improve the contents of government decision making process in response to the transparency incomes, public policy analysis becomes imminent. In other words, public policy analysis is a multi-disciplinary and systematic investigation aimed at gathering and analysing information about the likely consequences of public policies both before and after they occur, which is why it involves collection and interpretation of information in order to predict the consequences of alternative course of action. To achieve that lofty objective, it applies social science research techniques to formulate, execute and evaluate public policy in order to make effective decision. Because Public policy analysis is aimed at improving the basis for policy making and helps to facilitate sound decision making and contributes to better policy implementation and performance. In this unit we will look at the meaning of public policy analysis, the basic elements of good public policy analysis, the importance of public policy analysis, the steps for successful public policy analysis and the stages of public policy analysis. Having understand above, what then is the determinants of policy success and failure in an organization?



### **2.2 Learning Outcomes**

By the end of this unit, you will be able to

- i) Discuss the Public Policy analysis
- ii) Analyse Elements of Good Policy Analysis
- iii) Demonstrate the Importance of Public Policy Analysis
- iv) Evaluate Steps for a Successful Policy Analysis



## **2.3 The Concept of Public Policy Analysis**

While Public policy refers to the rules, regulations, and guidelines formulated by governments for the purpose of solving problems that have an impact on the society and the general public, public policy analysis involves evaluating issues of public importance with the objective of providing facts and statistics about the extent and impact of the various policies of the government. 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 policymakers to exercise their judgment”. On his part Chandler and Plano, (1988) posit that policy analysis involves “systematic and data-based alternative to intuitive judgments about the effects of policy or policy options”. Ikelegbe (1994) defines it as the study of the causes, processes, formation, implementation and consequences of public policy. According to - Carl V. Patton, "The process through which we identify and evaluate alternative policies or programmes that are intended to lessen or resolve social, economic, or physical problems." The basic objective of public policy analysis is to assess the degree to which the policies are meeting their goals. Public policy analysis deals with the application of social science theories and methods to analyse matters of public importance. Public policy analysis is a large, sprawling intellectual enterprise involving numerous academic disciplines, private research organisations, and governmental agencies each sharing a common concern with the formulation, implementation, or consequences of public policy decisions. As it is currently practiced, policy analysis involves contributions from the entire gamut of scientific disciplines. Much present day public policy analysis is undertaken by scholars from the various applied physical and biological sciences (for example, environmental impact studies, technology assessments, seismic risk analyses, and the like). The focus here, however, is on public policy analysis as it is conducted within the social and behavioural sciences, principally economics, political science, and sociology.

### **Self-Assessment Exercises 1**

1. Analyse vividly the significant of public policy analysis.
2. Explain the stages of public policy analysis.

### **2.3.2 Elements of Good Policy Analysis**

There are five basic elements of good public policy analysis. They are;

#### **(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 applicers 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. 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 preconceived 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 (Nagel, 1984).

## **2.4 The Importance of Public Policy Analysis**

Public policy analysis seeks to answer the question of what the probable effects of a policy will be before they actually occur, it means that 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. This position has been corroborated by Ikelegbe (2006) when he asserts. Public policy analysis derives its importance and relevance in its contribution to the determination, study and assessment of public problems, public making, policy performance, impact evaluation, policy prescription and advocacy, and policy forecast,

prediction and anticipation.

Therefore, the importance of public policy analysis are

1. **Problems solving:** because public policy analysis provides a systematic study of public problems, the scientific approach to problem solving which characterises public policy enhances the achievement of more rational, efficient policies.
2. **Informed Opinion of Policy Preferences.** Public policy analysis constitutes an informed opinion on policy preferences and strategies. It involves policy advocacy which helps to influence future policies.
3. **Policy Performance.** Policy analysis contributes to better policy implementation and performance because of its importance in determining the consequences of Public Policy programmes.
4. **Policy Outcome Prediction.** Public Policy Analysis scientifically studies the impact of public policy through some techniques. Through its evaluation strategies, it helps to determine whether policies are implemented according to guidelines and whether policies are achieving their intentions or purposes.
5. **Making Impactful Changes Possible:** Because forecasting, prediction and anticipation fall within the purview of policy analysis, these properties are employed in bringing about impactful changes by resolving problems and improving situation.

#### **2.4.1 Steps for a Successful Policy Analysis**

Below are the different steps of successful policy analysis

##### **1. Verify, Define, and Detail the Problem**

This is the most relevant and important of the steps because many times the objectives are not clear or even contradictory from each other. A successful policy analysis will have allocated and identified clearly the problem to be resolved in the following steps. This is the foundation for an efficient and effective outcome of the whole process. The analyst must question both the interested parties involved as well as their agendas of the outcome, and must locate the problem in such a way that eliminates any ambiguity for future references.

##### **1. Establish Evaluation Criteria**

In order to compare measure and select among alternatives, relevant evaluation criteria must be established. Cost, net benefit, effectiveness, efficiency, equity, administrative

ease, legality, and political acceptability must be considered. Economic benefits must be considered in evaluating the policy. How the policy will harm or benefit a particular group or groups will depend on the number of options viable. Options more difficult than others must be considered but ultimately decided through analysing the parties involved with policy. Political and other variables go hand in hand with the evaluation criteria to be followed. Most of the time the client, or person or group, interested in the policy analysis will dictate the direction or evaluation criteria to follow.

### **3. Identify Alternative Policies**

In order to reach this third step the other two must have been successfully reached and completed. As it can be seen, the policy analysis involves an incrementalist approach; reaching one step in order to go on to the next. In this third step understanding what is sought is very important. In order to generate alternatives, it becomes important to have a clear understanding of the problem and how to go about it. Possible alternatives include the "do nothing approach" (statusquo), and any other that can benefit the outcome. Combining alternatives generates better solutions not thought of before. Relying on past experiences from other groups or policy analysis helps to create a more thorough analysis and understanding. It is important to avoid settling prematurely on a certain number of options in this step; many options must be considered before settling into a reduced number of alternatives. Brainstorming, research, experiments, writing scenarios, or concept mapping greatly help in finding new alternatives that will help reach an "optimal" solution.

### **4. Evaluate Alternative Policies**

Packaging of alternatives into strategies is the next step in accomplishing a thorough policy analysis. It becomes necessary to evaluate how each possible alternative benefits the criteria previously established. Additional data needs to be collected in analysing the different levels of influence: the economical, political and social dimensions of the problem. These dimensions are analysed through quantitative and qualitative analysis that is the benefits and costs per alternative. Political questions in attaining the goals are analysed as to see whether they satisfy the interested parties of the policy analysis. In doing this more concise analysis the problem may not exist as originally identified; the actual problem statement from the first step may suffer a transformation, which is explained after evaluating the alternatives in greater detail. New aspects of the problem may be found to be transient and even different from the original problem statement. This modification process allows this method of policy analysis to allow for a "recycling" of information in all the steps. Several fast interactions through the policy analysis may well be more efficient and effective than a single detailed one. What this means is that the efficiency is greatly increased when several projects are analysed and evaluated rather than just one in great detail, allowing for a wider scope of possible solutions. Patton further suggests avoiding the tool box approach: attacking options with a favourite analysis method; it is important to have a heterogeneous approach in analysing the different possible alternatives. It becomes inefficient to view each alternative under a single perspective; it is clearly relevant the need to evaluate each alternative following

diverse evaluating approach singled out according to the uniqueness of each of them.

## **6. Display and Distinguish among Alternative Policies.**

The results of the evaluation of possible alternatives list the degree to which criteria are met in each of them. Numerical results don't speak for themselves but are of great help in reaching a satisfying solution in the decision. Comparison schemes used to summarise virtues are of great help in distinguishing among several options; scenarios with quantitative methods, qualitative analysis, and complex political considerations can be melded into general alternatives containing many more from the original ones. In making the comparison and distinction of each alternative it is necessary to play out the economic, political, legal, and administrative ramification of each option. Political analysis is a major factor of decision of distinction among the choices; display the positive effects and negative effects interested in implementing the policy. This political approach will ultimately analyse how the number of participants will improve or diminish the implementation. It will also criticise on how the internal cooperation of the interested units or parties will play an important role in the outcome of the policy analysis. Mixing stwo or more alternatives is a very common and practiced approach in attaining a very reasonably justified policy analysis.

## **7. Monitoring the Implementation Policy.**

Continuity must be assured while determine whether they are having impact. "Even after a policy has been implemented, there may be some doubt whether the problem was resolved appropriately and even whether the selected policy is being implemented properly. This concern requires that policies and programs be maintained and monitored during implementation to assure that they do not change for unintentionally, to measure the impact that they are having, to determine whether they are having the impact intended, and to decide whether they should be continued, modified or terminated."

### **2.4.2 Stages of Public Policy Analysis**

#### **i. Evaluation Research**

The ultimate analytic question to be asked about any public policy is whether it produced (or will produce) its intended effects (or any effects, whether intended or not). The search for bottom-line effects- impact assessment is one of two major activities subsumed under the rubric of evaluation research. The other is so called process evaluation, discussed below under "Implementation Analysis." There are many formidable barriers to be overcome in deciding whether a policy or programme has produced its intended (or any) effects. First, the notion of "intended effects" presupposes clearly defined and articulated program goals, but many policies are enacted without a clear statement of the goals to be achieved. Thus, many texts in evaluation research recommend an assessment of the "evaluability" of the program prior to initiating the evaluation itself. A second barrier is the often- pronounced difference between the programme-as-designed and the programme as delivered. This is the issue of programme implementation, discussed

below. Final problem in doing evaluation research is that most policies or programmes are relatively small interventions intended to address rather large, complex social issues. The poverty rate, to illustrate, is a complex function of the rate of employment, trends in the world economy, prevailing wage rates, the provisions of the social welfare system, and a host of additional macro structural factors. Any given antipoverty program, in contrast, will be a relatively small-scale intervention focused on one or a few components of the larger problem, often restricted to one or a few segments of the population. Often, the overall effects of the various large-scale, macro structural factors will completely swamp the programme effects not because the program effects were not present or meritorious but because they are very small relative to exogenous effects.

## **ii. Outcome Analysis**

Assuming that a programme has been adequately evaluated and an effect documented, one can then analyse that effect (or outcome) to determine whether it was worth the money and effort necessary to produce it. Outcome analysis thus examines the cost effectiveness or cost beneficiality of a given policy, programme, or intervention. Cost-benefit and cost-effectiveness analysis are intrinsically complex, technically demanding subjects. One complication lies in assessing the opportunity costs. A dollar spent in one way is a dollar no longer available to use in some other way. Investing the dollar in any particular intervention thus means that one has lost the "opportunity" to invest that dollar in something that may have been far more beneficial.

## **iii. Implementation Analysis**

Much is the slippage between the spoon and the mouth." A programme as it is delivered in the field is rarely identical to the programme as designed in the policy making process; sometimes, there is only a superficial resemblance. Since slippage between design and implementation might provide one explanation for the failure to achieve significant program effects, implementation analysis is an essential component of all capable policy evaluations. There are many reasons why programmes as delivered differ from programmes as designed: technical impossibility, bureaucratic inertia, unanticipated conditions, exogenous influences. An elegantly designed policy experiment can fail at the point of randomisation if programme personnel let their own sentiments about "worthy" and "unworthy" clients override the randomising process. Many educational policy initiatives are subverted because teachers persist in their same old ways despite the programme admonition to do things differently. Welfare reform will mean little if caseworkers continue to apply the same standards and procedures as in the past. More generally, the real world finds ways to impinge in unexpected and often unwanted ways on any policy initiative; failure to anticipate these impingements has caused many a policy experiment to fail.

## **iv. Utilisation**

A consistent frustration expressed throughout the literature is that policy analysis seems only rarely to have any impact on actual policy. Utilisation is an ongoing problem in the

field of evaluation research. A more detailed treatment of the Utilisation problem can be found in Chambers and colleagues (1992), Shadish and colleagues (1991), and Weiss (1988). For examples of ways in which evaluation can impact Practice directions for Evaluation (Gueron, Lipsey, and Wholey in New,1997).

### **2.4.3 Determinants of Policy Success or Failure**

In the word of Ingram and Mann (1980) recognise six factors as the main determinants of success or failure of policies;

#### **1. Excessive Demand for Policy Outputs**

This is due to the high increase in population of the country as a result, there is high increase in scope of government policies and programmes and it continue changing day by day and area by areas. For examples, the demands for the construction of more roads, dams and boreholes, health care delivery and hospitals, industries, schools to mention but a few are too enormous. Today, many communities are left unattended without social services and marginalised particularly the rural areas. The resources of the government are getting inadequate to meet the demands of every community in the country.

#### **2. Over-Ambitious and Unrealizable Policy Goals**

Most people are impatient and over overzealousness as such policy formulated by the government, people hardly waits to see the aspects of it as they would just be condemning it without giving it. Similarly, some of the programmes and policies are unrealisable due to the complexity of the programmes. For example, in April, 2011, the federal government of Nigeria through the Independent National Electoral commission (INEC) promised the nation of organising free, fair and credible election and at the end of the 2011 General Election, the outcome resulted into post election violence across some part of the country.

#### **3. Accurate and Inaccurate Theory or Causation of Social Problems**

Here many people make mistake by assuming that there is no difference between theories and policies. Theories are assumptions mainly good for laboratory or pilot test but not necessarily good for the larger populace. In Nigeria and indeed all over the world, many governments came in with a conceivable style of administration. In Nigeria for example, when President Goodluck Jonathan came into power in May, 2011 with transformational agenda and promised to tackle the problems of power, corruption, insecurity etc. Today, Nigeria is not only one of the most corrupt countries but also unsecured ranging from, kidnapping, bombing, arm robbery and destruction of government properties and among other.

#### **4. Types and Effectiveness of Policy Instrument Chosen**

These are the actual devices government has at their disposals for implementing policy among policies. For example, mass campaign using people to stop scandalising electrical cables and pipelines. Public policy is a kind of sloppy governance, which is working outside of actual law provisions, and is often unconstitutional. The variety of policy instruments to policy makers to address a policy problem is limited only to their imaginations. Many of such schemes are either pitched at high level of abstraction making them difficult to apply in practical terms or dwell on the idiosyncrasies of particular tools, thereby limiting the range of the descriptions and explanation.

## **5. The Vagaries of Implementation of Policies**

This relate to changes in the activities of the programmes as well as changes in schedule of implementation. Furthermore, the continue change in administrations which at the end lead to policy adjustment is considered as one of the major problems affecting policy implementation because most programmes initiated by a particular administration are hardly completed by another administration after the termination of that government rather; the incoming government would come in with its own agenda. Example, the previous government both military and civilian administrations came in with their established programmes, among these are; Code of Conduct Bureau by the Murtala administration in 1975, Ethical Revolution by Shagari's civilian administration in 1979, War Against Indiscipline and Corruption by General Buhari administration in 1984, Mass Mobilisation for Self Reliance, Social Justice and Economic Recovery by General Babangida in 1985, Failed Bank Tribunals by General Abacha in 1994, Anti-Corruption Bill by Obasanjo in 2000. From 2007, the administration of Yar'Adua has made it a cardinal policy to observe rule of law to enhance public accountability and stamp out corruption and indiscipline in the Nigerian society. While President Jonathan came in April, 2011 with programme called transformational agenda.

## **8. Failure of Political Institutions**

By political institutions here, we mean these institutions or organizations of the state, society or subsystem. However, some of these institutions exist in a mutually undefined relationship.

### **Self-Assessment Exercise 2**

1. Critically analyse the elements of good policy.



### **2.5 Summary**

In this unit, through the importance of public policy analysis, we have been able to establish the basic aim of public policy analysis which is improving the basis for public policy analysis, the content, the knowledge about the outcomes and the impact of public policy as well as the ways and means of improving public policy performances which

seeks to answer the question of what the probable effects of a policy will be before they actually occur.



## 2.6 References/Further Reading/Web Resources

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## 2.7 Possible Answers to SAEs

### Answer to SAEs 1

#### **Q1. Analyse vividly the significant of public policy analysis:**

Public policy analysis seeks to answer the question of what the probable effects of a policy will be before they actually occur, it means that 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. This position has been corroborated by Ikelegbe (2006) when he asserts. Public policy analysis derives its importance and relevance in its contribution to the determination, study and assessment of public problems, public making, policy performance, impact evaluation, policy prescription and advocacy, and policy forecast, prediction and anticipation.

Therefore, the importance of public policy analysis are

1. **Problems solving:** because public policy analysis provides a systematic study of public problems, the scientific approach to problem solving which characterises public policy enhances the achievement of more rational, efficient policies.

**2. Informed Opinion of Policy Preferences.** Public policy analysis constitutes an informed opinion on policy preferences and strategies. It involves policy advocacy which helps to influence future policies.

**3. Policy Performance.** Policy analysis contributes to better policy implementation and performance because of its importance in determining the consequences of Public Policy programmes.

**4. Policy Outcome Prediction.** Public Policy Analysis scientifically studies the impact of public policy through some techniques. Through its evaluation strategies, it helps to determine whether policies are implemented according to guidelines and whether policies are achieving their intentions or purposes.

**5. Making Impactful Changes Possible:** Because forecasting, prediction and anticipation fall within the purview of policy analysis, these properties are employed in bringing about impactful changes by resolving problems and improving situation.

**Q2:** Explain the stages of public policy analysis

### **1. Evaluation Research**

The ultimate analytic question to be asked about any public policy is whether it produced (or will produce) its intended effects (or any effects, whether intended or not). The search for bottom-line effects impact assessment is one of two major activities subsumed under the rubric of evaluation research. The other is so called process evaluation, discussed below under "Implementation Analysis." There are many formidable barriers to be overcome in deciding whether a policy or programme has produced its intended (or any) effects. First, the notion of "intended effects" presupposes clearly defined and articulated program goals, but many policies are enacted without a clear statement of the goals to be achieved.

### **ii. Outcome Analysis**

Assuming that a programme has been adequately evaluated and an effect documented, one can then analyse that effect (or outcome) to determine whether it was worth the money and effort necessary to produce it. Outcome analysis thus examines the cost effectiveness or cost beneficiality of a given policy, programme, or intervention. Cost-benefit and cost-effectiveness analysis are intrinsically complex, technically demanding subjects. One complication lies in assessing the opportunity costs. A dollar spent in one way is a dollar no longer available to use in some other way. Investing the dollar in any particular intervention thus means that one has lost the "opportunity" to invest that dollar in something that may have been far more beneficial.

### **iii. Implementation Analysis**

Implementation analysis is an essential component of all capable policy evaluations.

There are many reasons why programmes as delivered differ from programmes as designed: technical impossibility, bureaucratic inertia, unanticipated conditions, exogenous influences. An elegantly designed policy experiment can fail at the point of randomisation if programme personnel let their own sentiments about "worthy" and "unworthy" clients override the randomising process. Many educational policy initiatives are subverted because teachers persist in their same old ways despite the programme admonition to do things differently. Welfare reform will mean little if workers continue to apply the same standards and procedures as in the past. More generally, the real world finds ways to impinge in unexpected and often unwanted ways on any policy initiative; failure to anticipate these impingements has caused many policy experiments to fail.

#### **iv. Utilisation**

A consistent frustration expressed throughout the literature is that policy analysis seems only rarely to have any impact on actual policy. Utilisation is an ongoing problem in the field of evaluation research. A more detailed treatment of the Utilisation problem can be found in Chambers and colleagues. For examples, evaluation can impact Practice directions for evaluating policies.

#### **Answer to SAEs 2**

**Q1:** Critically analyse the elements of good policy.

##### **1. 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. 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 preconceived 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.

## **UNIT3      DYNAMICS OF POLICY FORMULATION, IMPLEMENTATION AND EVALUATION**

### **Unit Structure**

- 3.1 Introduction
- 3.2 Learning Outcomes
- 3.3 The Concept of Policy Problem
  - 3.3.1 Public Policy Formulation
  - 3.3.2 Public Policy Implementation
- 3.4 Policy Agenda
  - 3.4.1 Who Sets the Agenda?
  - 3.4.2 How to get Problems into the Agenda
- 3.5 Summary
- 3.6 Reference/Further Reading/Web Resources
- 3.7 Possible Answers to Self-Assessment Exercise(s) within the content



### **3.1 Introduction**

In our previous unit we will be able to establish importance of public policy analysis; we have been able to ascertain the basic aim of public policy analysis which is improving the basis for public policy analysis, the content, the knowledge about the outcomes and the impact of public policy. Public policy making is not an easy exercise. In fact, it is rooted in politics and its nature and scope differs along the type of society. In a multi-ethnic nation such as Nigeria, defining a public problem is more difficult than solving the problem. This is because all the interests of the federation units must be reflected before it can be accepted and it is usually difficult to get such consensus, compromised and ground shifting (politicking) overwhelms our public policy space. In this unit, we will explain the dynamics of policy formulation, evaluation, and implementation policy agenda, how to policy agenda, including the importance of policy process which guide us for future policy development. Finally, who set policy agenda? What is meant by agenda?



### **3.2 Learning Outcomes**

By the end of this unit, you will be able to

- i) Understand the concept of policy issues
- ii) Discuss the dynamics of policy formulation, implementation and evaluation
- iii) Demonstrate Policy Agenda and how to set Policy Agenda
- iv) Evaluate Policy Formulation and its significance in policy process.



### **3.3 The Concept of Policy Problem**

### **Policy Problems**

As Anderson (1997) observed, older studies of policy formation devote little attention to the nature and definition of public problems. Instead, problems were taken as “given”, and analysis moved from there. However, it is now conventional wisdom that policy study that does not consider the characteristics and dimensions of the problems that stimulate government action is less than complete. It is important to know both why some problems are acted on and other are neglected and why problem is defined in one way rather than another. This helps one determine where power lies in the political system. Moreover, whether a problem is foreign or domestic, a new item or the outgrowth of an existing policy, or limited or sweeping in scope helps to determine the nature of the ensuring policy making process. Evaluating a policy also requires information on the substance and dimensions of the target problem in order to appraise the policy effectiveness. Policy Problem can be defined as a condition or situation that produces needs or satisfaction among people and for which relief or redress through government action is sought. Such conditions as dirty air, unwholesome food, the practice of abortion, urban congestion, crowded prison that may become problems if they produce sufficient anxiety or dissatisfaction to cause people to seek for a remedy. For this to happen, people must have some criterion or standard by which the troubling condition is judged to be both unreasonable and unacceptable and appropriate for government to handle.

Policy problem appears when attention is directed towards a particular phenomenon that is considered to depart from the desired state of affairs. Whatever problems we see depends on where our attention is directed (Janet, 1989). Our attention may be redirected through contextual changes, which may lead us to ‘discover’ or formulate new problems. Defining and measuring a problem at one particular level therefore always entails a reduction of complexity and an exclusion of aspects of the phenomenon. Every attempt to alter the problem has repercussions that may change its conditions. A wicked problem is therefore essentially unique and contextual. Thus, it is more accurate to talk about governing wicked problems than about solving them. Policy studies have historically been dominated by an aspiration to make policy more ‘rational’ and aligned with scientific findings, and to make public policy less dependent on politics. However, the quest to find scientific solutions to social problems has not fulfilled its promises (Fischer 2003). Researchers increasingly recognise that social science and policymaking are inherently related; they are both involved in forming, negotiating and establishing the categories, boundaries and interpretations that give meaning to the social world. Together they provide the frames work through which problems are identified.

### **Self-Assessment Exercises 1**

1. Itemize the process of getting problem into the Agenda.
2. Define policy issues.

### **3.3.1 Public Policy Formulation**

Every policy problem has inherent value dimensions. It is on the basis of values that a state of affairs is perceived as undesirable, and thus acknowledged as a problem. This makes the process of defining and negotiating the meaning of a problem an essentially political process. Despite this, bureaucracy and expertise have a strong, if not increasing,

influence over the formation of policy problems. An objectivist knowledge view predominates within the public managerial realm, which obscures the political dimension of problem formulation, while policy problems tend to be approached as a matter of efficiency. This thesis provides an account of mechanisms that shape and constrain the way a particular policy problem is understood and addressed. It analyses how policy actors make sense of particular problems, by drawing on different discourses (scientific, institutional, popular or media). One of the most central aspects of politics is the contestation about how reality should be interpreted. At global, national and local levels there are constant struggles, not only over which issues are the most crucial but also about the essence of the social problems that are on the political agenda. Controversies may concern whether a phenomenon should be considered a problem, and if so, what the major factors causing the problem are. Disagreement may also involve the magnitude of 'the problem' and the proper solutions to it. Embedded in the understanding of a social problem, or rather, social phenomenon, are assumptions about reality: about relationships, behaviours, incentives, identities and so forth.

### **3.3.2 Public Policy Implementation**

Public policy making and implementation is a very critical area that both government and non-governmental organisations are at divergent opinions in the process of making and implementing such programmes and activities. We have noticed that in Nigeria, the process of policy formulation and implementation is essentially the work of government and its agencies. Whereas in principles the civil society organisations may have roles to play but in practice they are far away from the domain of policy processes. (Dahida & Maidoki, 2013). But because this section is entirely devoted to the dynamics of policy implementation, we say that in Nigeria, there is a missing-link between the government and the public and also the government and its agencies when it come to policy formulation and implementation and that explain why policies grossly fail in Nigeria. Our conclusion was drawn on the premise that, Nigeria's problem is not policy formulation but that of accurate implementation, because Nigeria has one of the best public policies in the world but the implementation has always been the problem. Imaging the current situation of the North East Nigeria devastated by the rampages of Boko Haram and a senior public office holder is alleged to have been found in an embezzlement scandal of the resources to the Internally Displaced Persons camps. According to Taiwo makeinde (2005), it has been observed that policy implementation is one of the major problems confronting developing nations. For emphasis sake, policy implementation as a stage of policy making between the establishment of a policy (such as the passage of a legislative act, the issuing of an executive order, or the promulgation of a regulatory rule) and the consequences of the policy for the people whom it affects. It also involves a wide variety of actions such as issuing and enforcing directives, disbursing funds, making loans, assigning and hiring personnel, etc (Edward, 1980).

In other word, implementation problem occurs when the desired result on the target beneficiaries is not achieved (Edwards, 1980). The four factors operate simultaneously and they interact with each other to aid or hinder policy implementation. Where implementation orders are clear, consistent and accurately transmitted, the absence of adequate resources will result in implementation problems. Resources include both the

human and material such as adequate number of staff who are well equipped to carry out the implementation, relevant and adequate information on implementation process, and the authority to ensure that policies are carried out as they are intended, and facilities such as land, equipment, buildings, etc. as may be deemed necessary for the successful implementation of the policy. Without sufficient resources it means that laws will not be enforced, services will not be provided and reasonable regulations will not be developed.. Where a policy will result in reduction of pay, low self-esteem, or loss of position to the implementers, the attitude/ disposition will be affected adversely. On the other hand, if a policy will enhance the status, the pay or the self-esteem of the implementers, such implementer will be favourably disposed to it (Makinde, 2005). Stripped of all technicalities, implementation problem in most developing nations is the problem of a widening gap between intentions and results. Honadle (1979) tried to identify the problem associated with policy implementation as that of social carpenters and masons who fail to build to specifications and thus distort the beautiful blue print. Unfortunately, the situation as described by Honadle above is what goes on in most developing countries, Nigeria inclusive. As stated by Egonmwan (1971) implementation in these countries often turns out to be the graveyard of policy where the intentions of the designer of policies are often undermined by a constellation of powerful forces of politics and administration in cooperation with people. Little attention is paid to the subject of policy implementation by policy decision makers while it is often taken for granted that once a policy is adopted by government it must be implemented and the desired goals achieved. Implementation gap thus manifests in the “widening of the distance between stated policy goals and the realisation of such planned goals” (Egonmwan, 1991).

### **3.4 Policy Agenda**

We frequently read about demands being made by this group or that individual or some public officials for action by a governmental body on some problems, whether it be IPOB demand to secede or curbing corruption in the public sector. Of the thousands of demands made, only a few will receive serious consideration by public policy makers. This process is called policy agenda. The policy agenda is composed of the demands that policy-makers agree to consider. It is not the sum of all political demands, and is ranked according to the political priorities of the policy decision-makers. A number of individuals or groups can try to get their issues onto the policy agenda, including leaders, interest groups, crisis or disaster, mass organisations or protests, media attention, etc. “Non-decisions” are the decisions to avoid considering certain issues. Since it is not all the demands on government that gets to be considered by the government, the question that comes to mind is how then do problems reach the agendas of governmental organisations such as the National Assembly. Professor John Kingdon proposed agenda setting which is the process by which problems and alternative solutions gain or lose public and elite attention. Group competition to set the agenda is fierce because no society or political system has the institutional capacity to address all possible alternatives to all possible problems that arise at any one time. This may be it is contended that Agenda setting is not a rational process, but a struggle over the definition of the problem.

All interests are not equally represented in this struggle, and some problems are more likely to reach the agenda than others. Hence, the rational approach assumes that no important problems are unperceived and that all problems are accurately defined by all participants who agree on an objective definition. May decision-makers assume that if a problem has not been brought to their attention, then it does not exist. The implications of this assumption are like the ostrich with its head in the sand. In actuality, there is no agreement on what the problem is or even whether it is a public issue. There is no agreement on the values or tradeoffs that should be made in areas of conflict (e.g., environmental protection versus jobs). Conflict arises because different groups would be affected in different ways by any potential definition of the problem or any potential solution. Interest groups place issues where they will have the most control over the decision-makers. Not all problems create “publics” or equally powerful groups.

However, there are two conceptual agendas,

1. **Systemic Agenda**, some important parties agree that something should be a public concern; all issues that are commonly perceived to merit public attention, involving matters within the legitimate jurisdiction of existing governmental authority; they have widespread awareness or attention; the concern is shared by a large segment that some action is required; there is shared perception that the matter requires government attention and falls within the authority of some governmental unit; should government deal with it at all?
2. **Institutional Agenda**, what those in power are prepared to deal with (which excludes pseudo-items on the systemic agenda); most conflict occurs over which agenda the item belongs to (turf wars), either fighting to retain popular items or fighting to get rid of unpopular items; what should government do? Items specifically, actively and seriously up for consideration by authoritative decision-makers.

### 3.4.1 Who Sets the Agenda?

Pluralist theory-policy-making is divided into many arenas, those without power in one arena may find it in another arena; there is a market place for competing policies, groups, and interests; any group may win in some arena; actors accept the rules of the game (elections determine who gets to decide on public policy).

**Elitists**--power elite dominates the process to serve their own interests; the same interests have power in all arenas and always win; few people actually organise into interests groups with time, money and skills; the elite must keep key issues off the agenda to retain control and power; elite suppression of issues threatens democracy.

**Institutional**--legislative committees and bureaucratic institutions vie for control of the agenda; individuals benefit little from these agenda decisions; social interests have little impact on what is actually considered; this leads to somewhat more conservative policy alternatives than under the group scenario but less conservative than under the elite scenario.

### **3.4.2 How to get Problems into the Agenda**

- 1) Political leaders are the major initiators of policy issues, and the major participants in the national or civic debates on policy. Politicians may support one another in exchange for getting a favoured item onto the policy agenda.
- 2) Political and policy elites, lobbyists, think tanks, those with access to power. Groups may have access because a decision-maker is a member of that group or identified with it. Groups have resources, including mobilisation of voters. Some groups are so powerful that their demands cannot be ignored (big business). Some groups are held in greater esteem and/or thought to have better technical knowledge (e.g., doctors). Some groups may have better access through one branch or level of government than others (e.g., civil rights groups and courts).
- 3) Political Parties can generate issues, especially in an election year.
- 4) The Media can elevate issues to gain public attention and get onto the systemic and then the institutional agenda (Ralph Nader). The media can publicise issues that are unknown, or it can pick up on themes important to decision-makers and push those themes. It can stimulate controversy among the constituency and get them to contact their representatives. It can structure public debate in that way that issues are reported, the terms used to frame the debate, and the illustrative stories presented. The media can also choose not to report on certain issues which the editors deem unworthy such as crisis, natural disasters, unforeseen events, international events. Access is a function of the perceived legitimacy of the group or individual; and is also influenced by the prevailing socio-political and cultural climate.
- 5) Natural Disaster/Crisis or Spectacular Events: Items may achieve agenda status and be acted upon as a consequence of some kind of crisis or spectacular event, such as natural disaster, Aba women riot of 1939, fuel subsidy removal protest of 2012 in Nigeria. These serve to dramatise and issue and attract wide attention, causing public officials to feel compelled to respond. There may be awareness, discussion, and continued advocacy of action on some matter; but without broad interest being stirred or policy action obtained some sort of “triggering” even seems needed to push the matter into the policy agenda.

### **3.5 Why Some Issues Are Ignored**

- a. Effective responses require information, capacity, and political will.
- b. Vague demands or trivial issues are ignored; issues may be deemed vague or trivial if their demands would threaten or conflict with the interests of the power elite.
- c. Issues not requiring government action; many issues have been deemed to belong to the private sector and will not be considered by government.
- d. Politics As Usual: Policy action is limited by previous government decisions, poor political skills or lack of resources of the underlying group, the entrenched interests, the

issue has not been in the public eye long enough to garner support, or everyone considers the issue to be settled.

e. Established bureaucracies are usually defenders of the status quo and established privilege; they are not neutral; they can control access by outsiders; they may resist challenges by resisting appointments from outside; generally accommodate the wishes of the elites; care little for adequate public representation.

f. Faded issues: the energy crisis of the 1970s was a result of the oil embargo, and largely faded away when the embargo was lifted. Concerns about unemployment may be displaced by concerns about inflation; environmental protection in Alaska may be displaced by energy independence (oil drilling).

g. Issues may die in committees or subcommittees; they may never be scheduled or be held back until it is too late; they may be postponed in favour of more routine issues that are easier to deal with; they may be tabled until more information is available; or referred to an investigatory panel. Issues are ignored because:

1. issues are too hot to be handled
2. there is a decision not to intervene
3. there is only a symbolic but meaningless response
4. there are disappointing or unexpectedly negative results
5. there is a delayed response
6. there is a response at an inappropriate level
7. the response is neither predictable, nor immediate, the commitment is not all-out, there is a decision but not action, and the problem is not resolved
8. There are too many issues to consider all at any one time
9. Delay may wear down the resources of opponents and/or supporters
10. Conflicting values make an immediate response infeasible
11. Partisan mutual adjustment politics (group theory) takes a long time
12. Some issues are like forest fires and must be dealt with at once, displacing other issues
13. Support for some issues comes only from politically powerless groups and can be successfully ignored for some time
14. Politicians may alter issues to suit their own needs
15. Publics may be inarticulate about what they actually want or need
16. Some issues are better left alone because there is really nothing government can do.

### **3.5.1 Policy Formulation**

Policy formulation is the second stage of the policy process in which policymakers propose courses of action for addressing agenda issues. It often provides policymakers with several choices for resolving agenda items. Effective policy formulation is comprised of analysis that identifies the most effective policies and political authorisations. Formulation of policy consists of policymakers discussing and suggesting approaches to correcting problems that have been raised as part of the agenda. Sometimes it is necessary to choose from among multiple potential paths forward. The issue of

traffic safety has been solved by various policies throughout time. Here are a few examples of solutions: more highways were built in the 1950s, safer cars were required in the 1960s, and jailing drunk drivers was the solution in the 1980s and 1990s. Thus, policy formulation involves developing pertinent and acceptable proposed courses of action (often called alternatives, proposals or options) for dealing with public problems as policy makers are confronted with several competing proposals for dealing with a problem or they have to struggle with devising their own alternative. The ultimate policy that is chosen to solve the issue at hand is dependent on two factors. First, the policy must be a valid way of solving the issue in the most efficient and feasible way possible. Effective formulation involves analysis and identification of alternatives to solving issues. Secondly, policies must be politically feasible. This is usually accomplished through majority building in a bargaining process. Policy formulation is, therefore, comprised of analysis that identifies the most effective policies and political authorisation. The idea of policy formulation suggests several images. The literature typically features one or the other, rarely both simultaneously. The technically minded see this as an act of correct analysis, finding the optimal solution to a complicated problem. The politically minded see it as gaining support for a policy through the cumbersome legislative process. The former casts policy formulation in terms of rationality; the latter in terms of compromise and majority-building. Here, both are right. When policy formulation is defined as the development of effective and acceptable courses of action for addressing what has been placed on the policy agenda, two parts to this definition are discerned.

1. Effective formulation means that the policy proposed is regarded as a valid, efficient, and implementable solution to the issue at hand. If the policy is seen as ineffective or unworkable in practice, there is no legitimate reason to propose it. Policy analysts try to identify effective alternatives. This is the analytical phase of policy formulation.

2. Acceptable formulation means that the proposed course of action is likely to be authorized by the legitimate decision makers, usually through majority- building in a bargaining process. That is, it must be politically feasible. If the policy is likely to be rejected by the decision making body, it may be impractical to suggest it. This is the political phase of policy formulation.

These two parts to the definition call to mind those who are involved in policy formulation. A mere mention of government agencies, presidential organisations, legislators, interest groups etc will suffice here as they will be detailed in future unit

### **3.5.2 Policy Evaluation**

Evaluation is an ongoing or continuous process. It involves a study or review of how effective the new policy has been in resolving the original problem. In other words, evaluation is conducted for checking the effects of the policy (i.e. whether or not it has achieved the predetermined objectives) and for assessing the impact of the policy in terms of efficiency, effectiveness, validity and its continued relevance. Based on the feedback or identified weaknesses, corrective action is taken. Policies are formally and informally evaluated by government agencies, by outside consultants, by interest groups,

by the mass media, and by the public. Policy processes ideally involve different stages: agenda setting; formulation; implementation; and evaluation. Although this stages or phases approach to policymaking has been criticised for being too simplistic, insufficiently explicating that some phases may occur together, and not saying much about why policy turns out as it does, it does provide a way to discuss many of the ways policy is constructed, carried out, evaluated, and made again. All these activities include both attempts at rational problem solving and political conflict. Even the federal government has a department of monitoring and evaluation whose key functions are:

1. Develop and maintain a framework to support the monitoring, evaluation and reporting of government performance at the national and sub-national levels, in line with the national development goals and objectives; Monitor and evaluate government performance at sectoral level (to measure performance of government policies in each sector of the economy), institutional level (to measure performance of government institutions) and program level (to evaluate the effectiveness and impact of public programs);
2. Develop and publish the Nigeria Country Report as the primary medium for the dissemination of performance information. Develop evaluation capacities across government at the federal and state levels to ensure that the quality, results, and impact of programs and expenditure can be measured at reasonable cost; Collaborate with Ministries, Departments and Agencies to develop results-focused, key performance indicators and clearly defined performance targets upon which progress will be measured. Develop the data management system for the National M&E system, including data collection tools, identification of data sources, frequency of data collection and data transmission plan;

However, the maladies that kept the other stages especially the implementation stage down is still the issues with evaluation. In his exhaustively study, Mohammad Ahmad Wali (2010) analyses the social, cultural and economic obstacles Nigeria faces in its quest to modernize and improve the standard of living. Explains why, in spite of the country's relative wealth of human and natural resources, the great majority of Nigerians still struggle with crushing poverty; why there is very limited access to basics such as health care, education, clean water and safe housing. Wali shows how political instability, corruption and prejudice, among other factors, conspire to prevent policy implementation of what, on paper, can seem to be perfect solutions

## Self-Assessment Exercises 2

1. Define policy agenda and what are the two conceptual agenda.



### 3.5 Summary

In this unit, the dynamics of Public Policy making was unraveled as the core issue with public policy has been the definition of what constitute public problem, getting these concerns to the policy agenda of policy makers and determining which of the competing problems defined to be given further consideration or acting upon. The dynamics and idiosyncrasies were highlighted in this unit, while discussing policy problems, policy and

agenda setting and policy formulation respectively.



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### 3.7 Possible Answer to SAEs

#### Answer to SAEs 1

1. Itemize the process of getting problem into the Agenda:

We frequently read about demands being made by this group or that individual or some public officials for action by a governmental body on some problems, whether it be IPOB demand to secede or curbing corruption in the public sector. Of the thousands of demands made, only a few will receive serious consideration by public policy makers. This process is called policy agenda. The policy agenda is composed of the demands that policy-makers agree to consider. It is not the sum of all political demands, and is ranked according to the political priorities of the policy decision-makers

**Systemic Agenda**, some important parties agree that something should be a public concern; all issues that are commonly perceived to merit public attention, involving matters within the legitimate jurisdiction of existing governmental authority; they have widespread awareness or attention; the concern is shared by a large segment that some action is required; there is shared perception that the matter requires government attention and falls within the authority of some governmental unit; should government deal with it at all?

**Institutional Agenda**, what those in power are prepared to deal with (which excludes

pseudo-items on the systemic agenda); most conflict occurs over which agenda the item belongs to (turf wars), either fighting to retain popular items or fighting to get rid of unpopular items; what should government do? Items specifically, actively and seriously up for consideration by authoritative decision-makers.

## **2. Meaning policy issues:**

Policy Problem can be defined as a condition or situation that produces needs or satisfaction among people and for which relief or redress through government action is sought. Such conditions as dirty air, unwholesome food, the practice of abortion, urban congestion, crowded prison that may become problems if they produce sufficient anxiety or dissatisfaction to cause people to seek for a remedy. For this to happen, people must have some criterion or standard by which the troubling condition is judged to be both unreasonable and unacceptable and appropriate for government to handle.

## **Answer to SAEs 2**

Q1: Define policy agenda and what are the two conceptual agenda:

i) Political leaders are the major initiators of policy issues, and the major participants in the national or civic debates on policy. Politicians may support one another in exchange for getting a favoured item onto the policy agenda.

ii) Political and policy elites, lobbyists, think tanks, those with access to power. Groups may have access because a decision-maker is a member of that group or identified with it. Groups have resources, including mobilisation of voters. Some groups are so powerful that their demands cannot be ignored (big business). Some groups are held in greater esteem and/or thought to have better technical knowledge (e.g., doctors). Some groups may have better access through one branch or level of government than others (e.g., civil rights groups and courts).

iii) Political Parties can generate issues, especially in an election year.

iv) The Media can elevate issues to gain public attention and get onto the systemic and then the institutional agenda (Ralph Nader). The media can publicise issues that are unknown, or it can pick up on themes important to decision-makers and push those themes. It can stimulate controversy among the constituency and get them to contact their representatives. It can structure public debate in that way that issues are reported, the terms used to frame the debate, and the illustrative stories presented. The media can also choose not to report on certain issues which the editors deem unworthy such as crisis, natural disasters, unforeseen events, international events. Access is a function of the perceived legitimacy of the group or individual; and is also influenced by the prevailing socio-political and cultural climate.

iv) Natural Disaster/Crisis or Spectacular Events: Items may achieve agenda status and be acted upon as a consequence of some kind of crisis or spectacular event, such as natural disaster, Aba women riot of 1939, fuel subsidy removal protest of 2012 in

Nigeria. These serve to dramatise and issue and attract wide attention, causing public officials to feel compelled to respond. There may be awareness, discussion, and continued advocacy of action on some matter; but without broad interest being stirred or policy action obtained some sort of “triggering” even seems needed to push the matter into the policy agenda.

## UNIT 4      BUDGET AND PUBLIC POLICY

### Unit Structure

- 4.1 Introduction
- 4.2 Learning Outcomes
- 4.3 The Concept of Budget
  - 4.3.1 Different Kinds of Budget in the Public Financial Management (Balanced Budget)
  - 4.3.2 The Budgetary Process
- 4.4 The Making of a Budget
  - 4.4.1 Why Too Many Decisions Must Be Made By Too Many Parties
  - 4.4.2 Incrementalism Functional in the Budget-Making Process
  - 4.4.3 The Importance of Budget
  - 4.4.4 Factors Responsible for Budget Failure in Nigeria
- 4.5 Summary
- 4.6 Reference/Further Reading/Web Resources
- 4.7 Possible Answers to Self-Assessment Exercise(s) within the content



### 4.1 Introduction

In last unit, we discuss the dynamics of Public Policy making was unraveled as the core issue with public policy has been the definition of what constitute public problem. Policy at any level is the significance instrument to resolve problems faced by societies, it is however just a mere statement of what government intends to do. Suffice to say therefore that policy itself needs some supportive device to get its goals concretised. One of these vital devices is the budget. This is because budget involves the determination of resources and their uses for the attainment of government policy objectives. Budget serves as an implicit policy statement as it sets relative levels of spending for different programmes and activities contained in the policy thereby making the policies explicit and operational. However, the marriage between policies and budget in Nigeria has been a failed one. Instead of budget facilitating achievement of policy goals, it serves as an element that retards the actualisation of the desired goals. The aftermath has been abandoned and improper implementation of projects within the country. Furthermore, we will look at the budget conceptualizations, the making of budget and how it link public policy, the process of budgeting and as well as factors responsible for budget failure in Nigeria. Now, how does the budget are made? Why too may decision are made.



### 4.2 Learning Outcomes

By the end of this unit, you will be able to

- i) Understand the Concept of Budget
- ii) Analyse the Making of a Budget

- iii) Demonstrate the Government Budget and Public Policy Link
- iv) Discuss the Budgetary Process
- v) Evaluate the Factors Responsible for Budget Failure in Nigeria



### 4.3 The Concept of Budget

Different writers have looked at the concept of budget from different dimensions. For Sachdeva and Sogani (1980), budget in modern times means a financial scheme or statement or the document which contains estimates of revenue and expenditure for a year. This means that budget is a statement of the probable revenue and expenditure for ensuing year, with financial proposal founded thereon. However, budget these days is something more than an estimate of revenue and expenditure. Bhattacharya (2000) It has developed into an elaborate system of financial management which includes not only a plan of public revenue and expenditure but the whole of material finances which are disclosed in ministerial statement placed before the legislature and the orderly administration of the financial affairs of the government. Emphatically therefore, budget is management technique or formalised approach for preparing and communicating organisation's expectation and accomplishing the planning, coordinating and controlling responsibilities of the management in such a way as to maximise the use of resources available (Fadeyi, 1999). The role of the economist, therefore, is to provide decision makers with the best possible information. The accountant perspective focuses on the accountability value in budget which analyses the amount budgeted to the actual expenditures thereby describing the "wisdom of the original policy". Smith and Lynch's public manager's perspective on a budget is a policy tool to describe the implementation of public policy (Smith, & Lynch, 2004).

#### 4.3.1 Different Kinds of Budget in the Public Financial Management (Balanced Budget)

The public budgets are different from other forms of budgets in many Ways. A balanced budget is that which has no deficit or surplus therefore, the revenues coming are equal to the expenditures.

1. **Revenue Budget:** It is just the details of the revenue received by the government through taxes and other sources and the expenditure that is met through it.
2. **Performance Budget:** This type of budget is mostly used by the organisations and ministries involved in the developmental activities. This process of budgeting, takes into account the end result or the performance of the developmental program thus insuring cost effective and efficient planning. With the increasing developmental challenges and awareness regarding the usage of tax payer's money, new methods of budgeting are required of which the performance based budgeting has emerged as a transparent and accountable method. It relies on three aspects of understanding of the final outcome, the strategies formulated to reach those final outcomes and the specific activities that were carried out to achieve

those outcomes. With a very detailed and objective analysis, this budgeting process is very result oriented in its approach.

3. **Zero based budget:** Zero based budgeting has its clear advantage when the limited resources are to be allotted carefully and objectively. It is quite flexible in nature and relies on rational methods, systematic evaluation to reallocate resources and justify the usage of funds. It starts from a zero base unlike traditional budgets where incremental approach is used. Here, the needs and costs of every function of the organization are taken into consideration for the next year's budget. So the budget is futuristic and may or may not be equal or more from the last year's budget as traditionally calculated. The budgets in the parliamentary kind of system similar to what exists in a country like India become a tool of political negotiations where the budgeting powers are delegated to the Finance Minister of the country.

### Self-Assessment Exercises 1

1. Explain the importance of budget in public policy.
2. Discuss the two (2) factors responsible for budget failure in Nigeria.

#### 4.3.2 The Budgetary Process

The budgetary process, in theory, culminates the policy objectives that government intends to pursue in a given year. While we might think in such broad terms as pursuing the national interest, providing an adequate defence, producing housing for the poor, etc., the budget is actually much more specific. Attention must be paid to thousands of line items, each representing the precise program and estimates of cost to pursue each policy objective. How does government compile a budget? The overall process sounds simple: Review cost estimates of all government programs, cut those which are unnecessary or unproductive, and raise revenue for those which work. There are three sets of institutional stages in budget formulation; Budget requests are submitted from the operating agencies. These may be padded with wish lists or driven by dire necessity. Budget requests originate with the agencies of the government bureaucracy and go to a centralised Office of Management and Budget (OMB) within the executive branch. OMB is the nerve centre of the process. The appropriations are recommended by OMB to committees in both houses of Congress, which have the final say. In the American system, the legislature authorizes funding, a Practice which extends to state government. We should understand budgets in the policy cycle framework we are familiar with.

Furthermore, we recognise that authorising a policy is one thing, getting it funded is quite another. The scrutiny of a program's budget forces a judgment of its worth. When budgets are reauthorised, they may be subject to a renewal of political issues which may have been temporarily resolved during the policy formulation stage. The setting of the annual appropriation for a Programme is not normally as decisive as the policy formulation stage. Legislation is a very different process from budget authorisation.. Yet, the budget is an ongoing process: never ending, interrelated, and complex. Competition and politics runs through every stage of the policy cycle. Getting attention for an issue on the agenda involves a struggle among many eligible policy matters. Policy formulation

includes the assessment of alternative strategies and the building of majorities, so the competition is among different ways of addressing what is perceived as a public problem placed on the agenda. In the political environment of deficit spending and resistance to tax increases, each program must actively compete against all others. New initiatives are rare. Increases in the price tag of a policy become acutely contentious. Many potential issues will never be seriously considered due to paucity of financial mean in the richest country in history.

Typically, the budget cycles occur in four phases (Smith & Lynch, 2004). The first requires policy planning and resource analysis and includes revenue estimation. The second phase is referred to as policy formulation and includes the negotiation and planning of the budget formation. The third phase is policy execution which follows budget adoption is budget execution the implementation and revision of budgeted policy. The fourth phase encompasses the entire budget process, but is considered its fourth phase. This phase is auditing and evaluating the entire process and system. See the associated points below:

1. **Revenue Estimation** performed in the executive branch by the finance director, clerk's office, budget director, manager, or a team.
2. **Budget Call** issued to outline the presentation form, recommend certain goals.
3. **Budget Formulation** reflecting on the past, set goals for the future and reconcile the difference.
4. **Budget Hearings** can include departments, sections, the executive, and the public to discuss changes in the budget.
5. **Budget Adoption** final approval by the legislative body.
6. **Budget Execution** amending the budget as the fiscal year progresses

#### **4.4 The Making of a Budget**

How are annual budgets really determined? Does the budgetary process rely on rational comparisons of each proposed expenditure against all potential alternatives? Are benefits arrayed against costs in a comprehensive methodology? Recall our previous discussion of the limitations of rationality within the policy formulation process. It broke down, giving way to the narrower logic of incrementalism. Well, it is still happening. Budget-making is an incremental process: The best guide to this Year's budget is last year's budget, plus or minus a small percentage. Budget determination is short run and incrementalism.

##### **4.4.1 Why Too Many Decisions Must Be Made by too Many Parties**

This complicated a process with too little information and with too little time. The answer to this dilemma is to use the convenient shorthand of incremental decision-making. Rationality is again reduced in time and among alternatives. It is not pretty, tidy, or intellectually satisfying. It's another expedient within the policy cycle which cries out for reform. As a method of decision making, incrementalism is a practicable device for coping with the overwhelmingly complex job of budgeting. This year's budget is simply based on last year's budget, with minor increases or decreases around the edges. So, the current budget decision is the product of previous decisions, which admits that precedent and past commitment in policy formulation is essential in the long term. This is reinforced

by the rarity of termination, which we will see later in the course, and the failure of past efforts of reform, usually entailing more centralisation and rationalisation.

#### **4.4.2 Incrementalism Functional In the Budget-Making Process**

Incrementalism averts risk, provides an adequate rationale for decision-making, reinforces an existing equilibrium of political forces (potentially upset by a shift in party in either the executive or the legislative branch), averts intense and destabilising conflict, and is easily understood by all. Long range Policy commitments have been made and must be honoured, more or less. Mandatory programs have been authorised and their budgetary needs met, more or less. Powerful political forces will be unleashed if other methods, more radical such as overhaul or termination, are used. Bargaining, negotiation, coalition formation coalesce into a rough agreement on the status quo, reflected in the tendency to continue the practice of incrementalism. There might be a single advantage to a process often criticised as irresponsible and simplistic: Incrementalism allows the possibility that the decision-making process focuses more closely on the few new programs and the targeted major recisions which take much political controversy to enact. Such budget battles are great distractions, and must be fought one at a time, if they are fought at all.

#### **4.4.3 The Importance of Budget**

The purpose of budget as an instrument of public policy might therefore be to correct one ailment or the other within the society, such as reducing poverty, unemployment and maladministration of resources. Thus budget has tremendous social and economic implications in any society. Ohanele (2010) substantiated this assertion thus; a budget is the most important economic policy instrument for government. It reflects a government's socio and economic policy priorities more than any other document. It translates policies, campaign promises, political commitment and goals into decisions where funds should be spent and how funds should be collected. It is explicit from the above that a well functioning budget is vital to the formulation and execution of government policies. In the same manner, a weak budget exacerbate socio-economic problem in an economy. Over the years, budgeting within the Nigerian context has sabotaged public policies in Nigeria.

Chegwe (2010) corroborated this when he declared that budgets at the state or federal administration have not been able to achieve up to a mere 45% annual budget implementation in the last twelve years. This ugly experience no doubt according to him has sabotaged policies in key public infrastructural provision such as transport, power, communication among others. The consequence manifests in the increase in cost of doing business in Nigeria. As such foreign investors are scared away and several others relocated to neighbouring countries or are contemplating doing so. Ayogu Eze quoted in Onuba (2010) did not mince words when he asserted with regret about the low performance of budget to realise objectives of public policies. He emphasised that: the Senate is not satisfied with budget performance and neither is the minister of finance satisfied with the budget performance, because in some places, the performance is as low

as 15 percent, in others, 27 percent and also 30 percent in some other places. In another occasion, Ohanele (2010) attested to the above when he stated that: Every year, Nigerians hear of trillions of Naira budget by all tiers of government. But at the end of the year, our people are always at a loss as to where the monies were invested. Actually, year-in-year-out, the description of budget by the government is always in laudable terms, but however, usually ends up in decreased standard of living of the Nigerian citizenry. Drawing from the above, Nigerian budgets have consistently failed over the years to achieve intended policy goals of government. Many analysts have blamed the failure on improper formulation and poor execution of budget policies

#### **4.4.4 Factors Responsible for Budget Failure in Nigeria**

The general consensus among analysts is that budget failure in to capture the essence of public policies in Nigeria set in at two critical stages in the budget cycle. These are at the level of making and implementing the budget. Some of the factors responsible for the failure in specific terms are discussed as follows;

##### **Bureaucratic Process of Securing Funds Release**

Funds are not released as at when due. Ojo (2009) corroborated this, for him, so many hurdles are crossed before approvals can be cash backed. The irregularities in the release of the funds are usually due to the delay in processing payment. However, a good practice to address delays between warrant release and cash backing has now evolved in the form of collaboration between the budget office and office of the Accountant General of the Federation. Draft warrant is now first reconciled by the two bodies before a final one is issued (Obadan, 2008). This then makes cash backing almost automatic.

##### **Lack of Implementation Plan**

The World Bank Director in Nigeria OnnoRhul quoted in Daily Trust of 27 May, 2011 reiterated this factor. He was of the opinion that what is really responsible for budget failure is lack of plan. He said that “government should budget for what it can spend”. Due to the improper planning, government commits resources to projects without assessment of the results to be achieved. With proper plan in place, government should be able to prioritise choices in the face of dwindling revenues and thus, resources channeled to the projects that can be completed and make maximum impacts.

##### **Inadequate Monitoring of Budget Performance**

Monitoring of budget is a constitutional role of the legislature. In the performance of this function, the National Assembly can visit any MDAs and project sites and conduct assessment of budget implementation. But this function is not given the needed attention in the Nigerian budget cycle. Where it is done at all, the reports are never debated or made public. Ojo (2009) attested to this fact thus: In spite of plethora of inquiries into MDAs, the reports of the probes have neither been debated at plenary nor made available to the public. This fuels the speculations that the motive behind such flurry of probes is self-serving and not in national interest. The consequence of the limited or lack of

monitoring is also that projects implementation tends to be delayed or projects are not executed or are abandoned.

### **Contractors and the Supplies**

This in most case affects budgetary implementation. The problem manifest in: late commencement of project activities, supply of secondhand equipment by some contractors, use of substandard materials by some contractors, etc.

### **Corruption**

The delay in budget enactment, low budget allocation, downward review of allocation, problem with contractors/suppliers, delay in the release of funds are all deliberate corrupt tactics to thwart effective performance of budget for personal gains. A statement to this effect was made by Ahmed. It goes thus; A top government official working with one of the agencies of government under the presidency said in 2007, that members of legislature inputted about N100 billion into the agency's budget and later came back after the budget was signed by the president for the amount inputted (Ahmed, 2011). In this respect, the official in the agency asked whether he was expected to go to the bank and withdraw N100 billion. The culprit was dumbfounded. It is obvious that this happens in all ministries. It is such that any MDAs which refused to play with the law makers would hardly get the budget approved on time if not totally frustrated. It is therefore not surprising that Nigeria was rated 134th position out of 178 countries by Transparency International corruption perception index 2010. Of course, Nigeria's mono-cultural economy, deficit budget, delay passage of the budget by the legislature, ineffective oversight function by the National Assembly, late budget release by the relevant authorities such as federal ministry of finance, Office of Accountant General of the Federation as well as Central Bank of Nigeria, are all factors responsible for budget failure to realise the target of public policies. However, a critical assessment of all the factors suggests that there are elements of corruption embedded here and there. In the house, time allotted for discussion is not enough to afford exhaustive debates on grants.

### **Self-Assessment Exercises 2**

1. Define budget and what the difference type of budget.



### **4.5 Summary**

In this unit, we have look at the concept of budget and budgetary process, the types of government wherein we asserted that for public policy, public or government budget suffices. We also looked at the making of the budget in Nigeria and also established the link between the budget and public policy as a marriage of necessity. This unit is practical and the students are advised to engage national problem relating to public policy and budgetary process to ascertain why some public policies never see the light of the day.



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#### 4.7 Possible Answers to SAEs

##### Answer to SAEs 1

1. Explain the importance of budget in public policy:

The purpose of budget as an instrument of public policy might therefore be to correct one ailment or the other within the society, such as reducing poverty, unemployment and maladministration of resources. Thus budget has tremendous social and economic implications in any society. Ohanele (2010) substantiated this assertion thus; a budget is the most important economic policy instrument for government. It reflects a government's socio and economic policy priorities more than any other document. It translates policies, campaign promises, political commitment and goals into decisions where funds should be spent and how funds should be collected. It is explicit from the above that a well functioning budget is vital to the formulation and execution of government policies. In the same manner, a weak budget exacerbate socio-economic problem in an economy. Over the years, budgeting within the Nigerian context has sabotaged public policies in Nigeria.

## **2. Discuss the two (2) factors responsible for budget failure in Nigeria:**

The general consensus among analysts is that budget failure in to capture the essence of public policies in Nigeria set in at two critical stages in the budget cycle. These are at the level of making and implementing the budget. Some of the factors responsible for the failure in specific terms are discussed as follows;

### **Bureaucratic Process of Securing Funds Release**

The irregularities in the release of the funds are usually due to the delay in processing payment. However, a good practice to address delays between warrant release and cash backing has now evolved in the form of collaboration between the budget office and office of the Accountant General of the Federation. Draft warrant is now first reconciled by the two bodies before a final one is issued. This then makes cash backing almost automatic.

### **Lack of Implementation Plan**

The World Bank Director in Nigeria OnnoRhul quoted in Daily Trust of 27 May, 2011 reiterated this factor. He was of the opinion that what is really responsible for budget failure is lack of plan. He said that "government should budget for what it can spend". Due to the improper planning, government commits resources to projects without assessment of the results to be achieved. With proper plan in place, government should be able to prioritise choices in the face of dwindling revenues and thus, resources channeled to the projects that can be completed and make maximum impacts.

### **Inadequate Monitoring of Budget Performance**

Monitoring of budget is a constitutional role of the legislature. In the performance of this function, the National Assembly can visit any MDAs and project sites and conduct assessment of budget implementation. But this function is not given the needed attention in the Nigerian budget cycle. Where it is done at all, the reports are never debated or made public. In spite of plethora of inquiries into MDAs, the reports of the probes have

neither been debated at plenary nor made available to the public. This fuels the speculations that the motive behind such flurry of probes is self-serving and not in national interest. The consequence of the limited or lack of monitoring is also that projects implementation tends to be delayed or projects are not executed or are abandoned.

## **Answer to SAEs 2**

1. Define budget and what the difference type of budget:

Budget in modern times means a financial scheme or statement or the document which contains estimates of revenue and expenditure for a year. This means that budget is a statement of the probable revenue and expenditure for ensuing year with financial proposal founded thereon

### **Type of budget**

1. **Revenue Budget:** It is just the details of the revenue received by the government through taxes and other sources and the expenditure that is met through the revenue generation.
2. **Performance Budget:** This type of budget is mostly used by the organisations and ministries involved in the developmental activities. This process of budgeting, takes into account the end result or the performance of the developmental program thus insuring cost effective and efficient planning. With the increasing developmental challenges and awareness regarding the usage of tax payer's money, new methods of budgeting are required of which the performance based budgeting has emerged as a transparent and accountable method.
3. **Zero based budget:** Zero based budgeting has its clear advantage when the limited resources are to be allotted carefully and objectively. It is quite flexible in nature and relies on rational methods, systematic evaluation to reallocate resources and justify the usage of funds. It starts from a zero base unlike traditional budgets where incremental approach is used.

## UNIT 5 ASSESSMENT OF FEW PUBLIC POLICIES

### Unit Structure

- 5.1 Introduction
- 5.2 Learning Outcomes
- 5.3 Government Policy in the Health Sector
  - 5.3.1 The Situational Analysis
  - 5.3.2 Policy Objective and Thrust
  - 5.3.3 Policy Direction and Assessment
  - 5.3.4 The Way Forward
- 5.4 Agricultural Policy in Nigeria
  - 5.4.1 Agricultural Policy Assessment
  - 5.4.2 Agricultural Policy Recommendations
  - 5.4.3 The Role of Agricultural Sector in Nigeria
    - 5.4.3.1 Agricultural Development Projects
    - 5.4.3.2 Policy Recommendations
- 5.5 Summary
- 5.6 Reference/Further Reading/Web Resources
- 5.7 Possible Answers to Self-Assessment Exercise(s) within the content



### 5.1 Introduction

Several governments in Nigeria have come and gone with different policies in educational, health, agricultural, industrial and other relevant sectors. The targets of some of the policies have been on the need to improve the public social services delivery in those sectors. Essentially, some were remarkable policies that yielded positive results while few have also failed to achieve the objectives and targeted goals. Given this, this unit will demonstrate on public policies in three key areas of education, health and agriculture in Nigeria.



### 5.2 Learning Outcomes

By the end of this unit, students would be able to;

- i) Demonstrate government policy in the health sector
- ii) Evaluate public policy on agriculture
- iii) Analyse government policy on education



### 5.3 Government Policy in the Health Sector

## **National Health Policy**

The National Health Policy was redesigned in 2016 with the mission of promoting the health of Nigerians to accelerate socio-economic development. This emerged following an elaborate consultative process involving all stakeholders in the health sector. Professor Eyitayo Lambo was the Chairman of the Technical Working Group (TWG) on the development of the new National Health Plan. Prior to the development of this National Health Policy in 2016, Nigeria had developed and implemented two National Health Policies in 1988 and 2004 respectively. However, the 2016 National Health Policy came up after the enactment of the National Health Act 2014 for Nigeria and when there is global re-commitment to a new framework, Sustainable Development Goals (SDG) and increasing global support for the attainment of Universal Health Coverage (UHC).

### **Self-Assessment Exercises 1**

1. Discuss 'Improved Budgetary Allocation' policy recommendations on agricultural development.
2. Explain the policy direction and assessment in the health sector.

#### **5.3.1 The Situational Analysis**

The situational analysis that warranted the formulation of the new policy was based on examining the functionality of the Nigeria Health System from the perspective of Strategic Thrusts of the NHSDP and the WHO health system blocks. The situational report indicated the weakness of the Nigeria health system and lack of performing of major health structures across blocks. The governance of health system was weak and in fact, there was total absence of financial risk protection in the health system. Though Nigeria had recorded milestone in the fight against guinea worm, control of Ebola and the interruption of wild Polio Virus (NHP, 2016), there was need to improve on the health facilities that have shown a clear dichotomy in the society. In lieu of this, the Federal Ministry of Health through consensus building among stakeholders developed the 2016 National Health Policy with the vision of universal health coverage for all Nigerians.

#### **5.3.2 Policy Objective and Thrust**

The overall goal of the policy is to straighten Nigeria's health system, particularly the primary health care. And to also deliver effective, efficient, accessible, affordable and comprehensive health care services to all Nigerians. However, the policy thrusts are ten (10) and were derived from NSHDP and WHO health system building blocks. They are: Governance, Health Service Delivery, Health Financing, Human Resources for Health, Medicines, Vaccines, Commodities and Health Technologies, Health Infrastructure, Health Information System, Health Research and Development, Community Participation and Partnership for Health.

#### **5.3.3 Policy Direction and Assessment**

The direction of the policy is tailored towards the aforementioned thrust. No doubt, the policy created rooms for creation of more primary health care centres across the country. This was done with partnership with National Primary Health Care being an agency of

the Federal Ministry of Health. Also, part of the projection of the policy is for state and local governments to complement the effort of the national government in delivering health services to the people. Be that as it may, most of the state and local government failed to develop a plan on domestication of the National Health Policy to suit the component units. The policy is yet to achieve its goals, though as planned, it would be reviewed in every 5 years. Up till date, most of the Nigeria's health facilities fail to meet the WHO prescribed standard. The political leaders hardly comply with some of the medical professional advices by not sufficiently finance the health sector. The budgetary allocation to the health system is not impressive which leads to the policy as a mere academic exercise.

### **5.3.4 Way Forward**

1. There must be adequate finance of health system. This requires improved budgetary allocation to the sector
2. Policy implementation should be holistic. The 2016 National Health Policy has a good framework and thrust but implementation remains the major challenge.
3. The public hospitals should be well equipped with modern facilities. The COVID-19 scenario exposed the relegated situation of the country's medical facilities
4. The health workers must be motivated and regular capacity building should be done

## **5.4 Agricultural Policy in Nigeria**

Before the 1960s, the dominant role of agriculture was taken for granted. With little support from the government, the agricultural was able to provide food for increasing population in the country. The industrial sector too was getting raw materials for building increasing government revenue and creating employment opportunities for the populace. The little support from the government was channelled to export crops like cocoa, groundnut, palm produce, rubber and cotton as food sufficiency did not pose any threat worthy of public attention. However, an indication of Nigeria's problem in agriculture became noticeable during the first decade of the country's independence (1960-1969). The increasing short falls in food supply, rising in food prices and declining foreign exchange from agricultural exports. It was assumed to be a temporary challenge not until the civil war surfaced (1967-1970). The second decade (1970-1980) witnessed a more deteriorating agriculture in Nigeria. Not only widening area of food shortage but sharp decline revenue generation from agricultural product. The residual effect of the civil war made the case to be compounded. The oil boom in this period contributed largely also to the neglect of the agricultural sector. In an effort to tackle the problem, government initiated a number of programs and projects to boost the agricultural sector. There were three successful national development plans from 1970-1974, 1975-1980 and from 1981 to 1985. Experience from these policies and programs convinced the government and concerned stakeholders that agricultural products must be strengthened to promote growth and development in Nigeria

### **5.4.1 Policy Assessment**

The policy was well designed to ensure speed production from small scale farming to a larger production of agricultural products. Despite the fact that Nigeria is blessed with fertile land, the target to expand farming activities within the country could not achieve this purpose. Though there were series of small scale farming which basically covered household and communal consumption, the large scale production remained the basic challenge of the Agricultural Development Project (ADP). The major threat to agricultural productivity that affected the goals of ADP was the discovery of oil in the 1970's. The oil boom era led to government diversion of focus leading to abandoning of agricultural sector. This invariably restricted the effectiveness of agricultural policy particularly on large scale production. The mono-cultural economy principle as a result of the country's reliance on oil production was a major setback to agricultural sector. The agricultural productivity sharply dropped and revenue generation from the sector was nothing to write home about.

In addition, the plan to engaging the able youth in farming activities could not be failed to materialise. The attention on oil sector complicated the problem of agricultural productivity in Nigeria and more youth got attracted to the oil business than agriculture. The policy target towards attracting the youth in small scale and large scale farming became a mirage as majority of the abled young persons dissented the rural setting for white collar jobs in the urban cosmopolitan areas. Be that as it may, besides the Agricultural Development Plan (ADP), several other national policy on agriculture were formulated. Policies such as Operation Feed the Nation, Agricultural Commodity Storage, Agricultural Commodity Processing, and many others were designed to improve agricultural productivity in order to enhance food security in the country. Nevertheless, most of the policies remain good but the major challenge has been implementation.

#### **5.4.2 Policy Recommendations**

Having considered that agricultural sector needs to be revamped and boosted to enhance mass production for food security and self-sufficiency in the country, the following suggestions can improve Nigeria's agricultural productivity.

1. **Economic Diversification:** This diversification has always been part of the government proposal. It is high time such policy got perfect implementation. There is need to shift attention from the monopoly of oil as the revenue of Nigeria and more aggressive decisions towards improving agricultural sector is required. This has become imperative to engage more Nigerians on agro-business and make the sector more attractive. The oil price is falling of recent times and the country needed to improve its agricultural plan to fast-track the growth and development projects in the country

2. **Mechanised Farming:** In order to achieve a larger scale agricultural production, there must be modernised farming. The mechanisation of the farming activities will boost productivity and contribute to mass cultivation of agricultural products. The traditional farming has always been at slower pace without a larger production

**3. Loans and Incentives:** The Nigeria's government should increase its capacity in terms of loans and incentives to prospective farmers. Such move will attract more prospective farmers to scale up their production. It will also improve agro-business by widening opportunities in the agricultural industry.

**4. Improved Budgetary Allocation:** The government should make appropriation to the agricultural sector to be more robust so as to increase participation and production capacity. With this, the level of food security can be improved and self-sufficiency might be guaranteed

### **5.4.3 The Role of Agricultural Sector in Nigeria**

The agricultural sector is a mainstay of the Nigerian economy with several roles in the development plan of Nigeria. The following can be attributed as roles of the agricultural sector:

1. Provision of adequate food for a larger and increasing population
2. Supplying adequate raw materials for the growing industrial sector
3. Contributing to the country's source of foreign exchange earnings
4. Provision of a viable market for the products of industrial sector.

The assessment of Nigeria's policies on agriculture would be considered on the framework of the highlighted roles. Moreover, the overall importance of agriculture is to contribute to the Gross Domestic Product (GDP). In view of this, the next section will look at few agricultural policies and their assessment in line with the specified role of agricultural role.

#### **5.4.3.1 Agricultural Development Projects**

The first decade of Nigeria's post-independence tried to direct agricultural resources and services to the small scale farmers with a view to improving their productivity and output. Government is aware of the limitations of small scale farming strategy in an environment with outflow of young able bodied farmers from the rural areas. This made it a required policy to rely on the small scale farming strategy to provide short term solution in the country's agricultural problems unless government policies succeed in inducing a backward flow of the youths into farming. Tackling this problem would enhance a concurrent strategy of fostering development of medium-scale and invariably large scale for commercial purposes. The second phase or target of the project was medium/large scale farming. It was believed that Nigeria would witness a steady decline in the number of small scale farming and gradual increase in the average size of farms in the coming decades. This would make government to pursue a strategy to accommodate medium and large scale farming side by side with the small scale farming. There was a consideration that favours a large scale farming strategy. This would improve production and enhance land consolidation. By this, scientific management techniques and the use of modern input would increase agricultural productivity. Also, the large scale is believed to generate mass employment. The project was expected to look into backward integration. Under this strategy, agro-industries would make use of modern small scale contract

farmers to undertake the production and supply of required agricultural raw materials. Farmers will be assisted with requisite inputs such as loans and agreement to purchase the farmers' produce and withhold part of the revenue due to the farmers in payment for outstanding loans. The projection of the policy was to ensure back to the land mechanism that would enable youths and school leavers to get attracted to farming. This was to go with enough of incentives if the back to the land programme is embraced. The idea is to encourage younger and viable people to participate actively in the farming sector. The strategy is to induce a backward flow of able youths into farming.

### 5.4.3.2 Policy Recommendations

Having considered that agricultural sector needs to be revamped and boosted to enhance mass production for food security and self-sufficiency in the country, the following suggestions can improve Nigeria's agricultural productivity.

1. **Economic Diversification:** This diversification has always been part of the government proposal. It is high time such policy got perfect implementation. There is need to shift attention from the monopoly of oil as the revenue of Nigeria and more aggressive decisions towards improving agricultural sector is required. This has become imperative to engage more Nigerians on agro-business and make the sector more attractive. The oil price is falling of recent times and the country needed to improve its agricultural plan to fast-track the growth and development projects in the country

2. **Mechanised Farming:** In order to achieve a larger scale agricultural production, there must be modernised farming. The mechanisation of the farming activities will boost productivity and contribute to mass cultivation of agricultural products. The traditional farming has always been at slower pace without a larger production

3. **Loans and Incentives:** The Nigeria's government should increase its capacity in terms of loans and incentives to prospective farmers. Such move will attract more prospective farmers to scale up their production. It will also improve agro-business by widening opportunities in the agricultural industry.

4. **Improved Budgetary Allocation:** The government should make appropriation to the agricultural sector to be more robust so as to increase participation and production capacity. With this, the level of food security can be improved and self-sufficiency might be guaranteed

### Self-Assessment Exercises 2

1. Critically examine the situational analysis in the health sector.



### 5.5 Summary

In policy analysis, the impact of assessment makes individuals to understand the role policy played and how effective or otherwise decisions made are well executed. The

analysis of education, health and agricultural sectors in this unit expose us towards policy assessment and effective evaluation. The analytical framework indicates that more needed to be done in the area of health, education and agriculture.



## 5.6 References/Further Reading/Web Resources

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## 5.8 Possible Answers to SAEs

### Answer to SAEs 1

1. Improve budgetary allocation as policy recommendations on agricultural development:

**Improved Budgetary Allocation:** The government should make appropriation to the agricultural sector to be more robust so as to increase participation and production capacity. With this, the level of food security can be improved and self- sufficiency might be guaranteed

2. Explain the policy direction and assessment in the health sector:

The direction of the policy is tailored towards the aforementioned thrust. No doubt, the policy created rooms for creation of more primary health care centres across the country. This was done with partnership with National Primary Health Care being an agency of the Federal Ministry of Health. Also, part of the projection of the policy is for state and local governments to complement the effort of the national government in delivering health services to the people. Be that as it may, most of the state and local government failed to develop a plan on domestication of the National Health Policy to suit the component units. The policy is yet to achieve its goals, though as planned, it would be reviewed in every 5 years. Up till date, most of the Nigeria's health facilities fail to meet the WHO prescribed standard. The political leaders hardly comply with some of the medical professional advices by not sufficiently finance the health sector. The budgetary allocation to the health system is not impressive which leads to the policy as a mere academic exercise.

### Answer to SAEs 2

1. Critically examine the situational analysis in the health sector:

The situational analysis that warranted the formulation of the new policy was based on examining the functionality of the Nigeria Health System from the perspective of Strategic Thrusts of the NHSDP and the WHO health system blocks. The situational

report indicated the weakness of the Nigeria health system and lack of performing of major health structures across blocks. The governance of health system was weak and in fact, there was total absence of financial risk protection in the health system. Though Nigeria had recorded milestone in the fight against guinea worm, control of Ebola and the interruption of wild Polio Virus (NHP, 2016), there was need to improve on the health facilities that have shown a clear dichotomy in the society. In lieu of this, the Federal Ministry of Health through consensus building among stakeholders developed the 2016 National Health Policy with the vision of universal health coverage for all Nigerians.