Teaching Policy Analysis in Cross-National Settings: A Systems Approach

Claudia Scott

Professor of Public Policy,

Victoria University of Wellington(VUW) www.vuw.ac.nz/sog

The Australia and New Zealand School of Government (ANZSOG)   www.anzsog.edu.au

Email: Claudia.Scott@vuw.ac.nz

Agenda

Context and Learning Outcomes

Models, Frameworks, Tools and Methods

A Systems Approach to Policy Design

Cross-Jurisdictional Project Team Work

Designing Public Policy and Programs

1/10th of an Executive Masters of Public Administration (EMPA) Degree for (ANZSOG) - a consortium of 10 governments and 16 university partners;

- 120 mid-career public servants; offered as a 4.5 day intensive in 3 different jurisdictions;

- Enhancing the importance of policy to managers and analysts; exploring connections between strategy, policy, service delivery, and outcomes.

- Policy analysis interrogates 'public value';

Context

- Strong governments – can change policy
- Westminster – drift to Washminster
- Public service advisory system is more contestable
- Tension between analytical and political streams of advice
- Insufficient recognition that governments are dealing with 'wicked problems'
- Poor alignment and collaboration across the public sector; can pre-occupy public servants and make them less willing to design options involving the private and community sectors;
- Federalism brings competition between different levels of government.

Frank and Fearless Advice?

Course Learning Outcomes

- Building new skills to scope, frame and craft policy options for simple and more complex problems;

- Understanding different models of and approaches to policy analysis and advising, and the merits of analyzing complex policy issues from a wider system perspective;

- Develop understanding of the strengths and weaknesses of different policy frameworks, tools and methods and how they can enhance policy practice;

- Reflect on the features which define 'quality' and 'value' in policy advisory work and create strategies to enhance policy capability and performance.

Cross-jurisdictional Project Team Work

- Problem /Opportunity definition
- Scoping and framing
- Options design
- Criteria (values, impacts, implementation and risk issues)
- Form outcomes matrix
- Gather evidence to support outcome projections
- If possible, contingent recommendations
- Consider the pros and cons of the outcomes matrix
- Comment on the usefulness of different tools, techniques and approaches to policy analysis

Course Assessments

Individual Assessment 1   (20%) delivered on day one relating to:
comparing models of policy development; **or**
 reflecting on one's advisory system; **or**
 linkages between policy and management in your jurisdiction;

Two Project team presentations(15%):

 Day 2: 5% Short report back on scoping problem/opportunity and the use of
 policy techniques (systems mapping, intervention logic, reverse
 brainstorming, causal mapping)

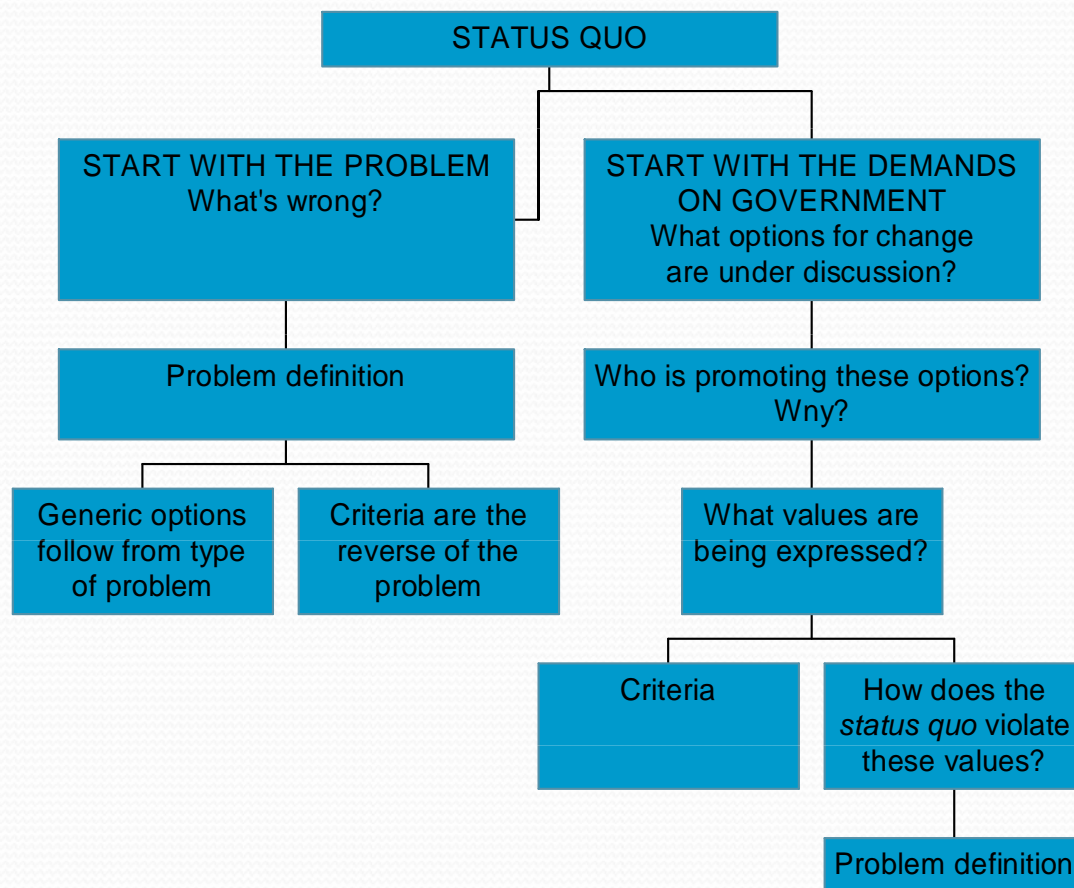 Day 4: 10% Presentation and Q&A on constructing the outcomes matrix

Project Team Report(3000 words) due 3 weeks later (25%)

Individual assessment 2 (40%) on one of four topics

Two Approaches to Problem Definition

Two Approaches

```
                        ┌──────────────────────┐
                        │     STATUS QUO       │
                        └──────────────────────┘
            ┌──────────────────────────┴──────────────────────────┐
┌───────────────────────────┐              ┌──────────────────────────────┐
│  START WITH THE PROBLEM    │              │   START WITH THE DEMANDS     │
│      What's wrong?         │              │       ON GOVERNMENT          │
│                            │              │   What options for change    │
│                            │              │    are under discussion?     │
└───────────────────────────┘              └──────────────────────────────┘
            │                                            │
┌───────────────────────────┐              ┌──────────────────────────────┐
│     Problem definition     │              │ Who is promoting these options? │
│                            │              │            Wny?              │
└───────────────────────────┘              └──────────────────────────────┘
      ┌─────────┴─────────┐                              │
┌──────────────┐  ┌──────────────┐          ┌──────────────────────────────┐
│ Generic options│  │ Criteria are the│         │      What values are         │
│ follow from type│  │  reverse of the │         │     being expressed?         │
│  of problem    │  │    problem    │          └──────────────────────────────┘
└──────────────┘  └──────────────┘            ┌───────────┴───────────┐
                                    ┌──────────────┐  ┌──────────────────────┐
                                    │   Criteria   │  │   How does the       │
                                    │              │  │ status quo violate   │
                                    │              │  │   these values?      │
                                    └──────────────┘  └──────────────────────┘
                                                                │
                                                      ┌──────────────────────┐
                                                      │  Problem definition  │
                                                      └──────────────────────┘
```
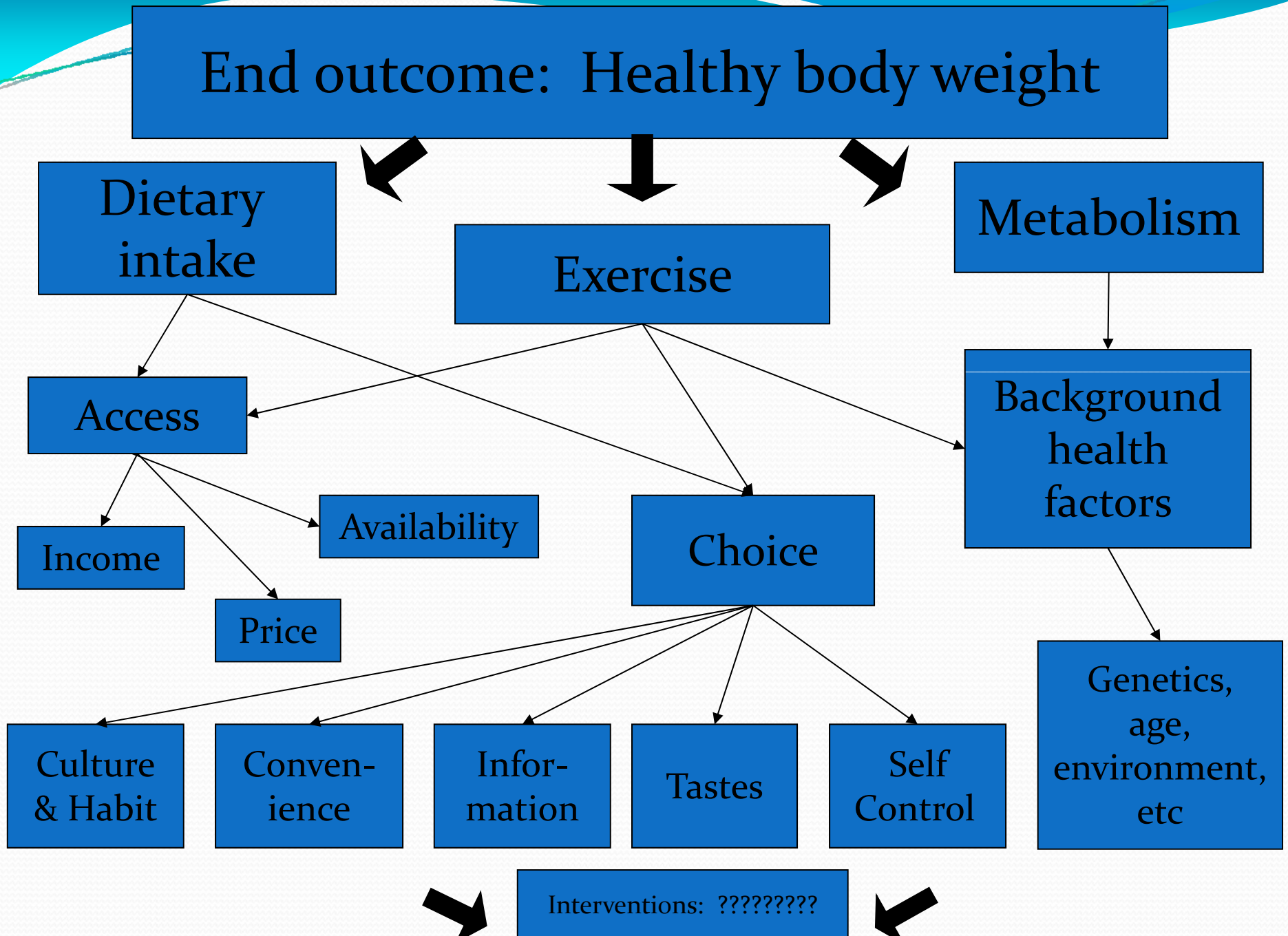
Howlett & Ramesh: Policy systems and subsystems
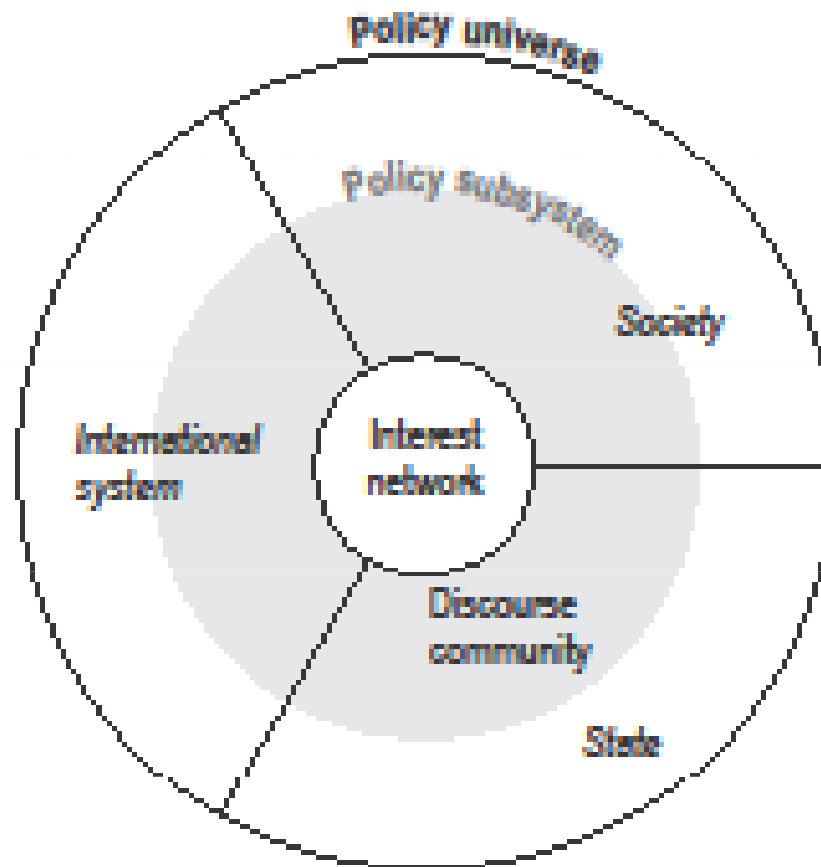
shiftⁿ Obesity System Influence Diagram

Full Map
Clusters
Core Loop
Individual Psychology
Social Psychology
Individual Activity
Activity Environment
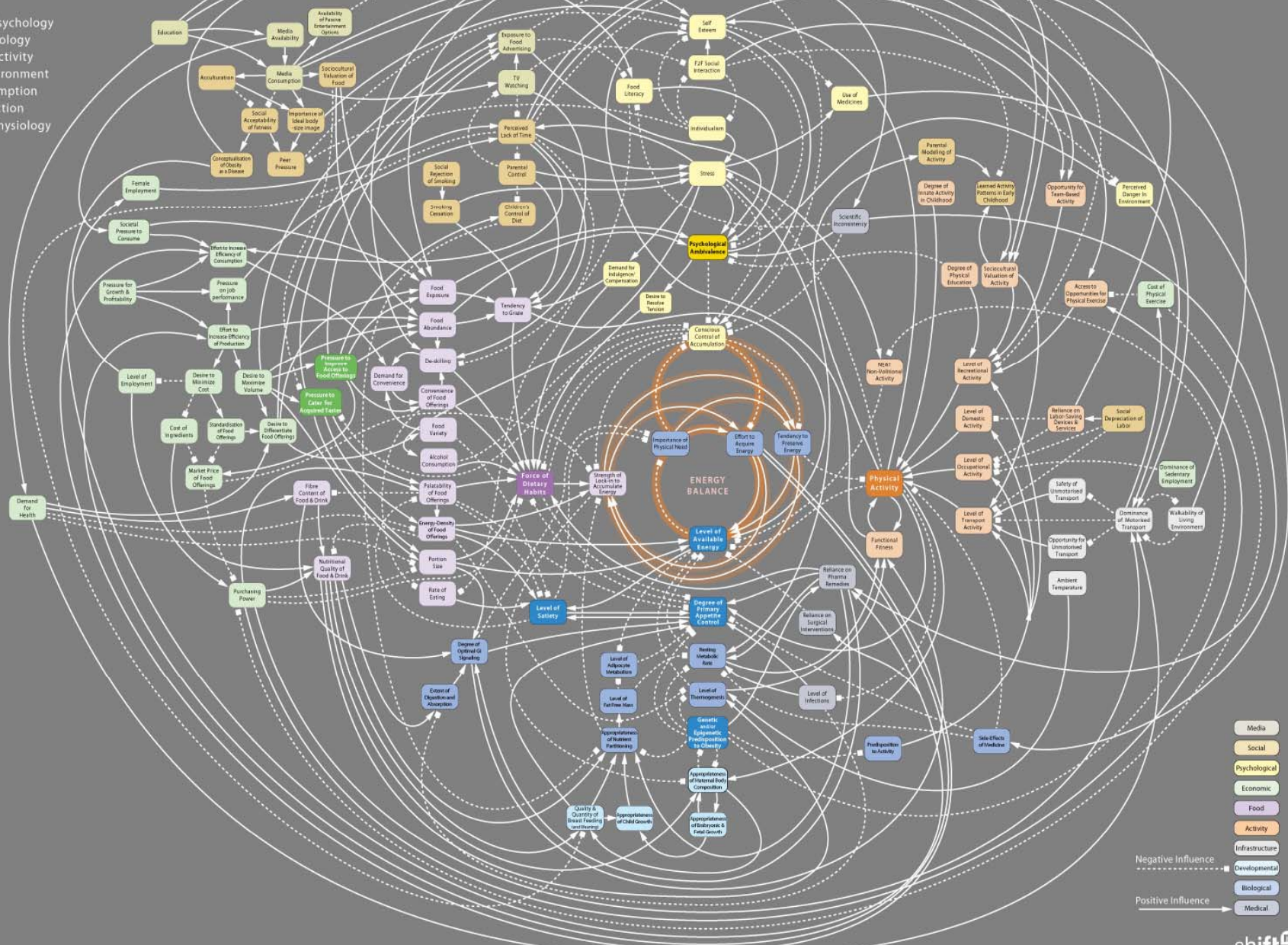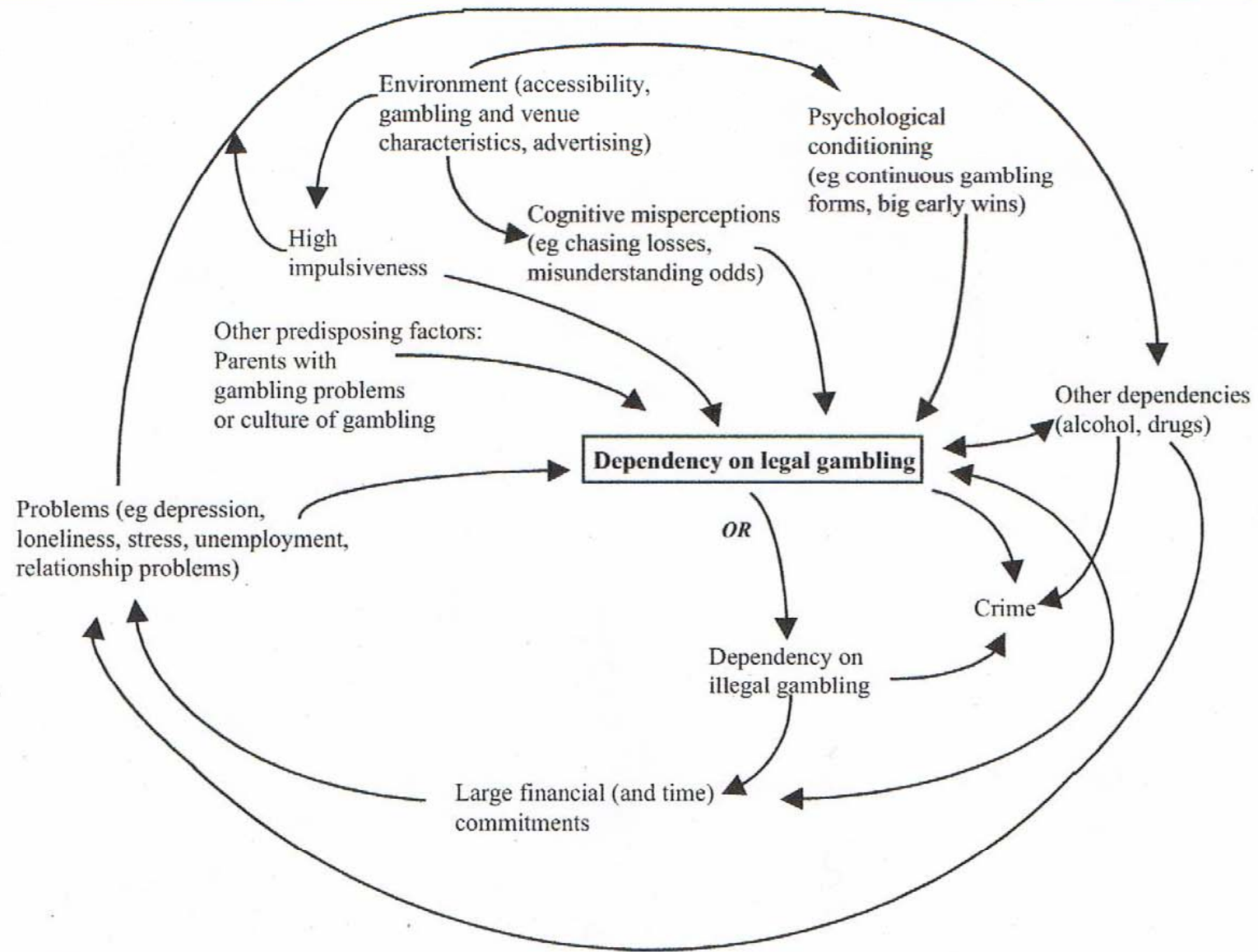Food Consumption
Food Production
Individual Physiology
Physiology

ENERGY BALANCE

Legend:
Media
Social
Psychological
Economic
Food
Activity
Infrastructure
Developmental
Biological
Medical

Negative Influence
Positive Influence

shiftⁿ
clarity in complexity

copyright© 2008 shiftn cvba

Figure 9   Causal pathways and problem gambling

Environment (accessibility, gambling and venue characteristics, advertising)

Psychological conditioning (eg continuous gambling forms, big early wins)

High impulsiveness

Cognitive misperceptions (eg chasing losses, misunderstanding odds)

Other predisposing factors: Parents with gambling problems or culture of gambling

Other dependencies (alcohol, drugs)

Dependency on legal gambling

Problems (eg depression, loneliness, stress, unemployment, relationship problems)

OR

Crime

Dependency on illegal gambling

Large financial (and time) commitments

Framing Policy Issues

- Market Failure
- Government Failure
- Community Failure?
- Social Capital
- Treaty Frameworks
- Gender
- Human Rights
- Frameworks relating to particular outcomes (economic, social, environmental and cultural)

Models

Bardach, Althaus, Bridgman and Davis, Howlett & Ramesh,
 Mayer, van Daalen and Bots (hexagon) Scott & Baehler(hexagon)

What Kind of Model?
- positive and/or normative?
- state-centric or client-centric?
- a process focus or about relationships between
    inputs, processes, outputs and outcomes?

Compare attributes:
- emphasis on outcomes?
-role of stakeholders and non-government actors/institutions?
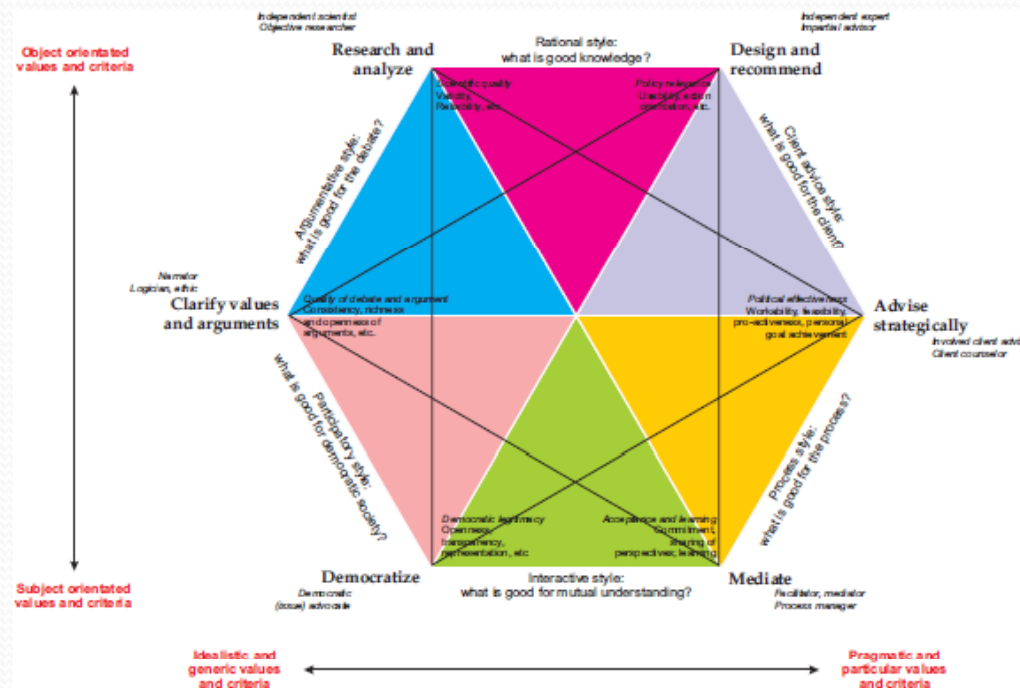-relationship between analytical and political dimensions?

Bardach's Model
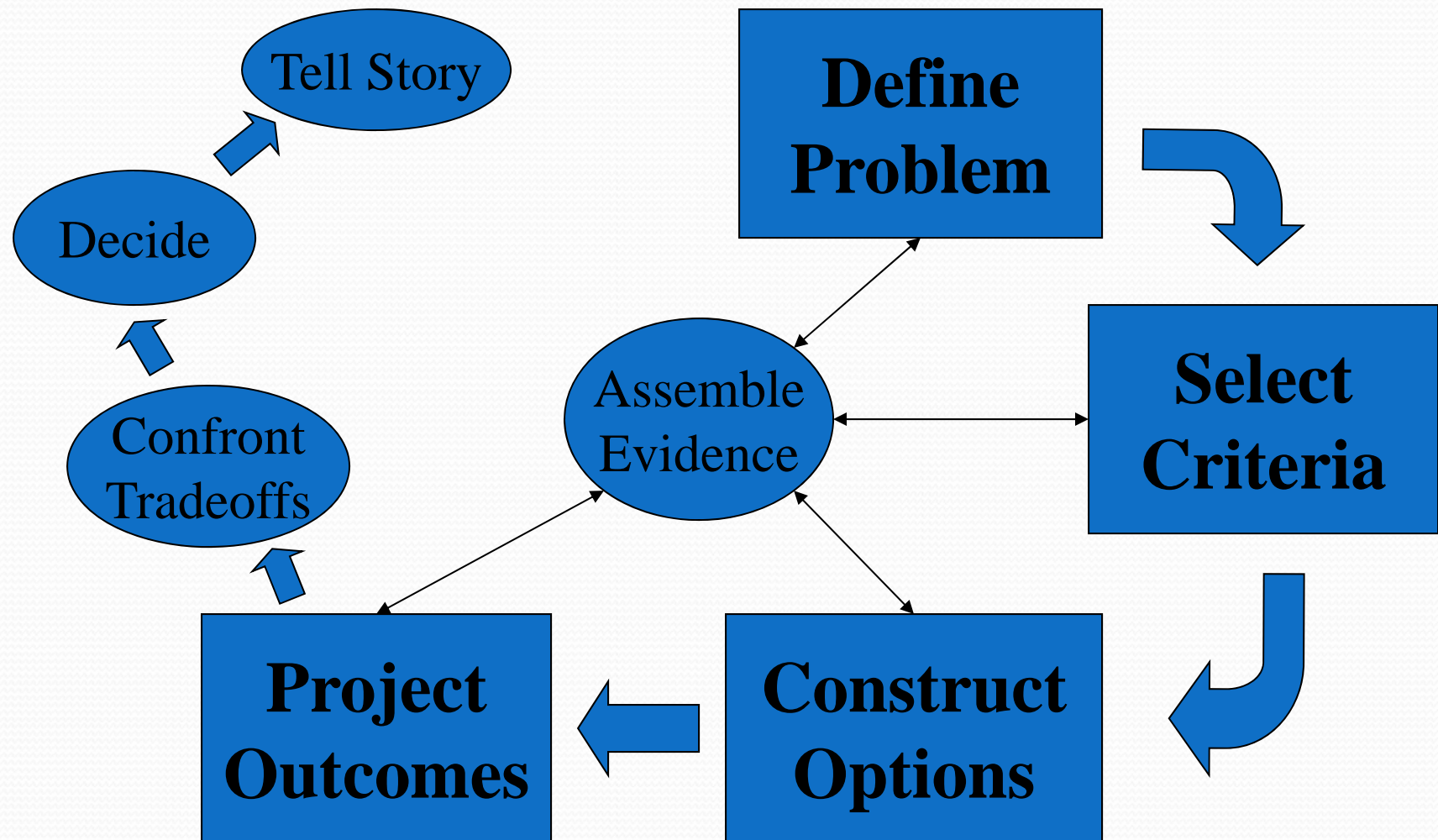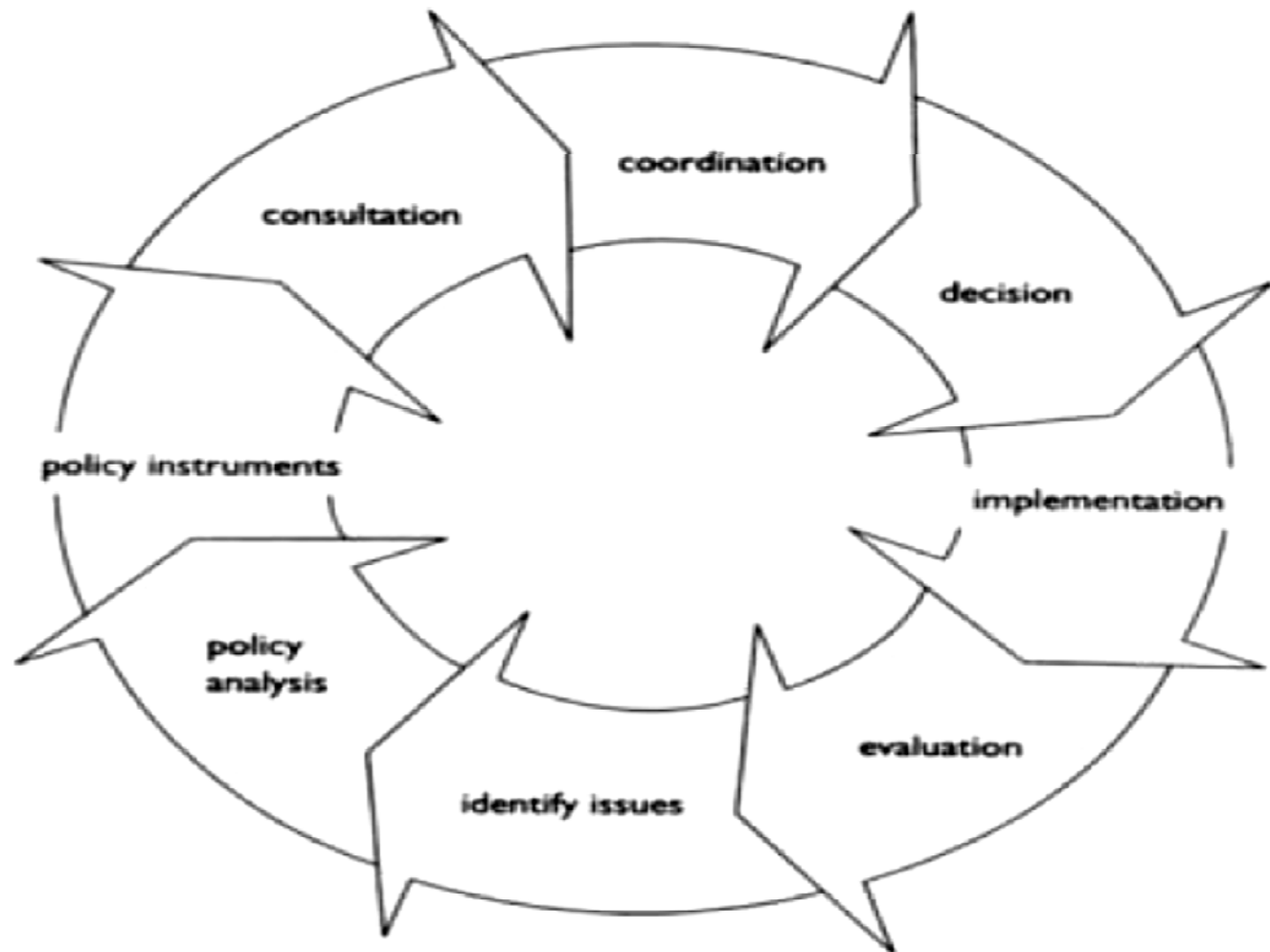
The Australian policy cycle

Mayer, vanDaalen and Bots

The Systems Approach

- Encourages linking interventions to outcomes;
- Fosters option design involving government and other actors and institutions;
- Allows option design to create hypotheses involving competing 'logics';
- Encourages a focus on outcomes and on linkages between outputs and outcomes;
- Fosters the design of policy processes which are 'fit for purpose';
- Discourages exclusive focus on state-centric options.

POLICY CO-PRODUCTION

Longer-term future focus; setting agendas

ENVIRONMENT SCANNING

RESEARCH & EVALUATION

*Strategic conversation
*Working across government and with non-gov't actors to clarify issues, set agendas, find better approaches
*Partnerships
*Deliberative democracy
*Summits

*Forecasting
*Alert to long-term trends and potential changes in society, economy, etc
*Future-oriented briefings, BIM's & equivalents
*Suggest directions for policy development

*Monitoring
*Systematic review of existing research
*New research
*Ongoing evaluation
*Goal clarification
*Learn from past and apply to future

*Scope problems and opportunities
*Search for new and better ideas (blue skies work)
*Clarify roles of gov't and non-gov't agents
*Test policy ideas by projecting outcomes, analysing logic

*Put gov't priorities into action
*Tailor bright ideas to local settings
*Make new and existing programmes work
*Find and manage risks
*Find and fix design flaws
*Retrofit policy arguments to chosen policies

OPTIONS ANALYSIS & DESIGN

IMPLEMENTATION ANALYSIS & DESIGN

*Eyes and ears of minister
*Anticipate problems and opportunities and alert key people to them
*Short-turnaround briefings
*Contributions to speeches, press releases, parliamentary questions, etc

Present and near-term future focus; enacting agendas

RESPONSIVENESS TO POLICY ENVIRONMENT

Broad Focus ← → Detail Focus

CRAFTING IN DIFFERENT POLICY WORK DOMAINS

	STRATEGIC	RESPONSIVE	OPERATIONAL
FUNCTIONS	Build strategy, frame policy choices, undertake research and development, anticipate issues	Formulate, test, refine, and design programs, supply just-in-time information and advice	Prepare programs, roll them out, learn, improve delivery and effectiveness, feed back to policy designers
SELECTED TOOLS & TASKS	Role of government analysis, trend analysis, futures thinking	Options bank withdrawals, policy cross-breeding, assessment of options against criteria, risk analysis and mitigation planning	Learning from process evaluations, bee keeping, systems for feedback from target populations, risk assessment

Market and government failure spotting, option spotting using system maps, learning from outcome evaluations

Pilot testing, dialogue-based crafting of options, forensic analysis of current policy

Organisational analysis and strategic thinking

Systems thinking, strategic conversation, intervention logic, evidence review, scenario writing

AUTHORISING DOMAIN

Policy transfer systems

Pressure group politics & networks of influence

Public intellectuals' influence networks

Westminster Washminster

Research networks

Parties, campaigns, elections

N

W O E

S

EXPERT DOMAIN

PUBLIC VALUE DOMAIN

Research networks

Client networks

Families, friends, churches, clubs, communities

Informal practice-sharing

Professional associations (e.g., social workers)

Front-line staff networks

OPERATIONAL DOMAIN
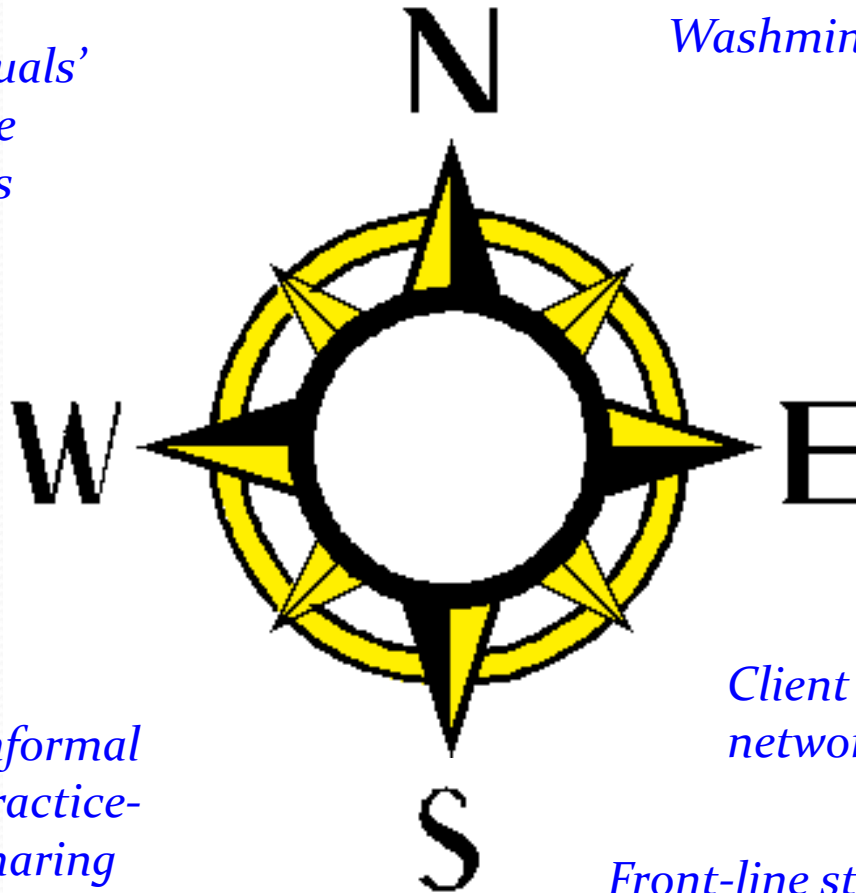
The Compass with Systems

Cross-Jurisdictional Project Work

- Promotes learning about how to select and apply models, frameworks, tools and methods to analyze policy issues in different jurisdictional contexts;

- Develops appreciation of the design and crafting elements of policy work, as well as the importance of the information and evidence base to analyse options and provide advices;

- Provides greater scope for encouraging dialogue and debate on options;

- Encourages group work while trying to avoid pitfalls;

- Develops communication skills and ability to critique the analysis of others.

Adding Value to Policy Analysis and Advice

Claudia Scott & Karen Baehler

Sydney, University of New South Wales Press

Available on Amazon.com ($40.95) and can be searched (free super-shipping)