

POLICY PROCESS PART TWO

1

FACILITATOR

WILSON WILLIAMS MUTUMBA

Policy design

2

- ❖ Process through which policies are given specific form and shape, including the technical aspect of developing tools, and instruments for addressing a given policy problem.
- ❖ It addresses questions such as the feasibility of stated goals and viable strategies to meet those objectives.
- ❖ It considers the institutional, political, and socio-economic context within which a given policy operates (Howlett & Mukherjee, 2017).
- ❖ Effective Policy design balances multiple dimensions and capacities, such as technical feasibility, political acceptability, and administrative capacity to avoid gaps (Chindarkar, 2017).
- ❖ Social policy design need to carefully distinguish between technical and political (Chindarkar et al., 2017).

Cont..

3

- ❖ Effective policy design requires the appropriate matching of design activities to the contexts of policy-making with the tools to be deployed in policy design Howlett (2018).
- ❖ Thus, emphasis is on the use of participatory (Beland & Howlett, 2016; Migone & Howlett, 2025).

CONTRAST BETWEEN POLICY DESIGN AND POLICY IMPLEMENTATION

- ❖ Policy design and policy implementation are two linked phases in the policy process but have a different focus.
- ❖ Policy design is concerned with the "strategy, instruments, and structure decisions taken to intervene in a societal problem prior to action" (Howlett & Mukherjee, 2017).

cont..

4

- ❖ Policy implementation is the operationalization stage where policy designs are put into practice within administrative systems, bureaucracies and by frontline actors.
- ❖ As such, implementation often requires adaptations to the policy, i.e. it is the stage of translating selected alternatives into actions (Tosun & Treib, 2018).
- ❖ Implementation structures may be more centrally controlled, hierarchical and top-down, with little deviation from policy intentions (Tosun & Treib, 2018).
- ❖ Design focuses on "what should be done" while implementation is concerned with "how it is actually done" (Tosun & Treib, 2018).
- ❖ Successful policies depends on the extent to which design is both feasible and relevant.
- ❖ Failures often result from design and implementation being too weakly linked (Hill & Hupe, 2014).

Cont..

5

❖ **Examples of well-intentioned designed public policies with poor implementation in Uganda**

- (a) Universal Primary Education (UPE) policy shows a mismatch between policy design and policy implementation.
- (b) The free maternal healthcare policy in Uganda was another mismatch between policy design and policy implementation.

Necessity of Clear goals and Objectives in Policy analysis

6

- ❖ Clear goals and objectives facilitate evaluation of policy performance in terms of relevance, effectiveness, and efficiency.
- ❖ Policy analysis involves examination of alternative policies to identify which of the available options best achieves stated goals by focusing on the link between policies and their consequences (Nagel, 2002).
- ❖ Evaluating whether a policy is achieving its goals is one of the main purposes of public policy analysis.
- ❖ Public policy analysis also involves defining and describing the goals of proposed policies (Pandey & Shukla, 2022).
- ❖ Goals are important to provide direction by clearly stating what a policy is trying to accomplish,
- ❖ Objectives should be specific so that they can be used to measure success or failure (Dunn, 2018).
- ❖ Highlights similarities and differences in anticipated outcomes and costs between competing policy options (Pandey & Shukla, 2022).

Cont

7

- ❖ Unclear goals and objectives result into ambiguous policy analysis, leading to different interpretations, priorities, and difficulties in determining whether the policy is a success or a failure (Virani, 2019; Howlett, Ramesh, & Perl, 2020).
- ❖ Policy ambiguities give rise to conflict and confusion over the purposes and intent (Fowler, 2022).
- ❖ Clearly stated goals and objectives promote accountability by creating common expectations among stakeholders and a set of rules to follow in order to select the most appropriate policy instruments (Parsons, 1995).
- ❖ Clear goals and objectives are therefore essential for rational decision-making and for ensuring that policy interventions remain both relevant and results-oriented.

Example of UnClear Objectives: The Uganda Youth Livelihood Program 2014 (YLP)

- ***Program objectives were not well articulated***

Example of clear Objectives:

8

- ❖ Uganda's National Agricultural Advisory Services (NAADS) policy
- *Objectives were clear and clearly defined*

Policy options generation and analysis

9

- ❖ This is a critical activity where alternative courses of action are generated, assessed and compared to respond to a clearly articulated problem (Pluchinotta et al., 2019).
- ❖ It involves the process of identifying potential solutions and a range of instruments (e.g., regulation, subsidies, market-based mechanisms) for solving a problem (Dunn, 2018).
- ❖ Walker (2000) defines policy analysis as a structured form of analysis that can aid policy-makers in problem clarification, presentation of alternative solutions, and trade-offs among the associated consequences.
- ❖ Generating multiple policy options can help prevent early fixation on a particular solution and ensures that trade-offs (Howlett, Ramesh, & Perl, 2020).
- ❖ Policy analysts apply various analytical tools to systematically compare policy options and predict their potential consequences eg cost–benefit analysis.

Examples

10

- (a) An example from Uganda where policy options were generated is the debate around financing UPE.
- (b) In the health sector, the HIV/ AIDS epidemic in the 2000s is another illustrative example of generating policy options the in sub-Saharan Africa.

Scenario construction and forecasting in policy design

11

- ❖ Scenario construction and forecasting are methods used in policy design to create and evaluate different potential future situations and policy options.
- ❖ Scenario construction is the process of developing plausible and detailed narratives about alternative futures based on a range of contextual assumptions and uncertainties.
- ❖ Forecasting is the process of using quantitative and qualitative methods to predict likely future outcomes of policies and programs (Dunn, 2018).
- ❖ These methods are used to test the robustness of policy options (Howlett & Mukherjee, 2017).
- ❖ Incorporation of both methods in policy design makes governments become more proactive and strategic in decision-making (Chermack, 2011).

An example of scenario construction and forecasting in Uganda

12

❖ An example of scenario construction and forecasting in Uganda

The National Development Plan (NDP) II & III processes, which used these tools to inform and guide the development and implementation of economic and social policies (MFPED, 2015).

The Policy decision-making adoption

13

- ❖ This refers to the stage where the government has to choose a course of action after all the policy alternatives have been developed and made available to address a public problem.
- ❖ The decision-making or the adoption of policy is done through many activities or institutional mechanisms.
- ❖ Decision-making involves both rational and political elements, combining the analysis of costs, benefits, and feasibility with negotiation, power struggles, and value judgments (Anderson, 2014).
- ❖ Policy formulation and adoption process involve seven activities:
 - Generation of alternatives
 - Deliberation/consultation,
 - Advocacy
 - Lobbying
 - Negotiation
 - Drafting/enacting the policy
 - Implementation guidance (Berlan et al., 2014).
- ❖ Other than government actors, civil society or NGOs, commissioners, and even priests make policy decisions, and policies are mostly made across several institutions (Berlan et al., 2014).

Public policy adoption

14

- ❖ Policy adoption is stage that involves the decision to choose among policy alternatives following the formulation stage. It is largely influenced by internal and external determinants through policy diffusion processes (Lestari et al., 2022).
- ❖ Adoption takes place when authoritative decision-makers, such as parliaments, presidents, or administrative agencies, formally accept a particular policy option (Dye, 2017).

Decision-making process

15

- ❖ The decision-making process in public policy making is a sequence of activities from policy problem identification to selection and implement a policy course of action.
- ❖ While this process is both rational and political (Anderson, 2014).
- ❖ Policy scholars have proposed several models to explain how decisions are made in the policy process such as
 - (a) The rational-comprehensive model- which assumes decision-makers have perfect information and a clear hierarchy of values
 - (b) The bounded rationality model- which recognizes the limits of information and cognitive capacity of decision-makers.
 - (C) The incrementalism or disjointed incrementalism model, which sees decision-makers as making small adjustments to existing policies rather than pursuing grand designs (Lindblom, 1959; Simon, 1997; Ramesh, 2003).

Decision-making environment in public policy

16

- ❖ This encompasses the political, economic, social, institutional, and technological contexts that condition and influence how policy problems are framed, choices are made, and decisions are implemented.
- ❖ It includes factors such as information availability, uncertainty, stakeholder interests, cultural values, and power dynamics, which shape the options considered (Ramesh, 2003).
- ❖ It is dynamic and non-neutral, imposing constraints on rational analysis and problem-solving, often leading to negotiated compromises and incremental solutions (Anderson, 2014).

Creativity in decision-making

17

- ❖ Creativity in the context of decision-making in public policy is conceptualized as the capacity to transcend traditional frameworks and generate original solutions to complex societal challenges.
- ❖ It entails reframing problems, exploring unconventional policy options, and synthesizing diverse perspectives to design adaptive and context-sensitive responses (Ramesh, 2003).
- ❖ Creativity is fostered through participatory approaches, cross-sector collaboration, and evidence-based experimentation, which can engender novel combinations of ideas and practices (Kingdon, 2011; Simon, 1997).
- ❖ The ultimate objective is to ensure that public policy is not only technically feasible and effective but also socially acceptable and politically viable.

END

18

THANK YOU FOR LISTENING TO ME