

Training Manual on Public Policy Making and Analysis

Ethio-German Development Cooperation

Climate-Sensitive Innovations for Land Management Programme(CLM)



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DEUTSCHE ZUSAMMENARBEIT

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MINISTRY OF AGRICULTURE

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1. Section One - Introduction

Development actors need to be informed about policy formulation, development, analysis, advocacy, and implementation. There seems to be no sufficient experience and adequate knowledge of policy formulation/development and analysis, especially at the regional level in Ethiopia. As a result, existing policies are rarely reviewed, and analyzed, and their gaps are seldom identified. This situation has led to limitations on the effective implementation of different Natural Resources Management (NRM) and agricultural development-related policies and beyond.

In view of that, GIZ-CLM, in collaboration with MoA, intended to capacitate national and regional officials/ experts (Think tank Groups-TTGs) on public policy analysis and formulation. To this end, a major step has been taken to prepare a training module with the intention of providing training. Accordingly, this policy development and analysis training module is prepared for GIZ-CLM Program with expert trainers to guide the training provided to national and regional level participants.

The module is aimed to serve as a reference document for targeted users pertaining to tasks related to policy development and analysis. The proper use of this reference material will enable both project and government staff to gain basic understanding of the concepts and principles in policy review, development, and analysis. Such capacity undoubtedly improves the overall policy and strategy implementation of development practitioners and policymakers at national and regional levels.

The training module has six major sections. Section one overviews the basics of policy and public policy. Section two focuses on elements of Policy Making input/output. Section three deals with policy analysis. Section four covers policy implementation and failure, section five presents policies, strategies and guidelines (PSGs), policy formulation and implementation. The last section provides tips on how to write a policy brief with presentation of common templates.

1.1. Objectives of the Training Manual

Specifically, this training manual is intended to address the following:

- Introduce participants to the basics of policy formulation/development and public policy analysis.

- Familiarize participants with produres/processes and tools used to analyze policies and strategies.
- Improve participants' knowledge of policy advocacy for different sectoral programs.
- Familiarize participants with a template to prepare policy briefs.

2. Section Two- Basics of Policy and Public Policy

Mode of Delivery

This section adopts an interactive, informal lecture as its mode of delivery. The trainer starts the session with an introduction of the topic and presents brainstorming questions to open up discussion among the participants. S/he then presents the lesson encouraging a two-way interactive communication with the participants. We recommend energizers in between, involving the trainers as providers whenever possible. The trainer could maximize opportunities for the participants to make the most out of the session if s/he encourages them to complete the checklist/reflection table before winding up the session.



Figure 1 : TTG Members during training

Key Terms

- Policy
- Public Policy
- Policy Advocacy
- Plan
- Strategy

Section Overview

Dear Trainees, this section aims to introduce you to and/or refresh your memory on basic issues of policy and public policy. The section attempts to define policy and public policy as described in various disciplines. It overviews policy analysis, policy formulation, and policy versus planning versus strategy. It addresses the objectives of policy formulation and skills for policy analysis and implementation. It introduces the concept of policy advocacy and the stages of the policy process.

Section Objectives

At the end of this section, you will be able to:

- Define policy/public policy
- Explain the difference between policy, plan, and strategy

Brainstorming Questions

1. What comes to your mind when you think of the word 'policy' ?

2. Are you familiar with national-level policies your organization is responsible for executing (or committed to support)? (Can you list them) ?

3. Do you think it is mandatory to have a policy on a particular issue (say Land for example)? Why? Why not ?

2.1. The Essence of Policy and Public Policy

2.2. What is Policy ?

- The word “policy” is derived from the Greek words politeia and polic, which refer to state and citizenship, and the Latin word politia, which means “administration of the commonwealth”.
- Policy refers to the regulation of morals, social order, safety, and welfare of a “body politic” (that is, an organization, a community, state or nation). More broadly, policy represents the principles that guide present and future decisions.
- A more general use of the term “policy” is to express the broad purposes or goals of government activity in a particular field, often giving some indication of a desired state of affairs.
- Policies express values, support or curtail interests and distribute resources. They shape and are shaped by the constituent elements of politics, so that policies represent victories or compromises encapsulated as programs for action by government.
- One definition of policy conceptualizes it as a statement by government of what it intends to do such as a law, regulation, ruling, decision, order, or a combination of these. The lack of such statements may also be an implicit statement of policy.
 - Such statements can be found in the Constitution, statutes, regulations, case law (that is, court decisions), agency or leadership decisions, or even in changes in the behavior of government officials at all levels.
 - For example, a law that which says that, those caught driving while intoxicated will go to jail for up to one year is a statement of governmental policy to punish drunk drivers.
 - The National Environmental Policy Act (NEPA) is a statement of government policy toward the environment.

- The First Amendment specifies that Congress cannot abridge religious, speech, or press freedoms, by stating “Congress shall make no law. ”
- Judicial decisions, especially in countries of common Law tradition are also statements of policy.
- Because we also define public policy as what government chooses not to do, the lack of a definitive statement of policy may be evidence of an implicit policy. Aside from the constitutional examples, the government has never declared—and our system has never enshrined in the Constitution—a right to education, or health care, or a living wage. Therefore, we can assume that, the implicit policy is that, there is no right to these things, while some other nations do express these as rights.
- Policy is “A course of action or inaction chosen by public authorities to address a given problem or an interrelated set of problems” (Hosseus & Pal, 1997).
- Policies may be stated or unstated, and policies may require action or non-action to achieve their purposes.
- Policies take many different forms. A policy might be a law, or a regulation, or the set of all the laws and regulations that govern a particular issue area or problem.

Key Attributes of Policy

The following are the key attributes of policy:

- Policy is made in response to some sort of problem that requires attention.
- Policy is made on the “public’s” behalf.
- Policy is oriented toward a goal or desired state, such as the solution of a problem
- Policy is ultimately made by governments, even if the ideas come from outside government or through the interaction of government and non-governmental actors.
- Policy is interpreted and implemented by public and private actors who have different interpretations of problems, solutions, and their own motivations.
- Policy is what the government chooses to do or not to do.

2.3. Description of Policy by Various Disciplines

- Many programs in political science, sociology, economics, public administration, law, and other disciplines allow students to specialize in the study of policy and the policy process.
- Public policy education and research has different fairly distinct variants. These include:
 - Ideology: political beliefs and values (Government transition)
 - Pressure groups: Ethiopian Women lawyers Association (EWLA) played their role in pressuring the reform of Ethiopian family law.
 - Elections/public opinion (condominium housing programs following the 2005 election result).
 - Crises (natural disaster or disease).
 - Changing conditions.
 - Technical developments.
 - Social events etc which cause an adaptation of policy or the introduction of new ones.
 - Culture and religion.
 - Inertia (when policy issues are not considered, or policy remains unchanged) Civil or public servants (advising ministers about issues).
 - Identification of problem areas from problem evaluation (school feeding program to improve the students educational performance).
 - Particularity (acid rain and pollution)
 - If an issue has achieved particularity, its effects highlight a much larger problem.
 - Emotive aspects (child labor)
 - Wide impact (Covid become an agenda when its impact widening)
 - Power and legitimacy
 - Fashion (multiculturalism, environmentalism)

- The policy process literature can be distinguished from other flavors of public policy as follows:
 - **Unlike policy analysis**, it does not emphasize the craft aspects of constructing and analyzing policies.
 - **Unlike policy research**, it does not emphasize problem solving (rather, it is the study of how others define and seek to solve problems).
 - **And unlike comparative public policy**, it tends to be limited to Local settings although good comparative work is appropriate.
- **Other variants of public policy**
 - **Comparative Public Policy** - In principle, comparative public policy applies the logic of comparative analysis to the substance of different policy problems. Current writing and analysis tend to emphasize cross-national comparisons.
 - There is also a newly emerging literature of comparative policy work among different contexts. Much of this work is descriptive, rather than theoretical.
 - **Public Policy Analysis** - A logic of analysis and mix of techniques in support of public policy decision making.
 - This tradition borrows heavily from economics.
 - The logic of “rational” analysis contains a central focus on problem specification, generation of alternative policies, and assessment of policies in support of public policy decision making.
 - The techniques include quantitative methods, economic analysis, welfare economics, and qualitative assessments.
 - **Public Policy Research** - This consists of applied social science research aimed at documenting policy problems and evaluating interventions.
 - The distinctive element of policy research is that it is problem driven. As such, the appropriate approaches and range of disciplinary relevance are in principle quite broad



Figure 2 : A Basic Policy Analysis Process

- Typically, policy research training includes development of expertise in the substance of one or more policy areas (e.g., health, energy, and environment).

2.4. Policy in some Disciplines

• Policy in Political Science

- The study of political relationships; that is, the study of the processes by which societies seek to allocate political power and the benefits of such power.
- The political process is the process through which policies are made and enforced.

• Policy in Sociology

- “Sociology is the study of social life, social change, and the social causes and consequences of human behavior. Sociologists investigate the structure of groups, organizations, and societies, and how people interact within these contexts.”

- There are many economic factors that influence public policy, such as economic growth, productivity, employment, and the like.
- The tools of economics are often used to promote policies or to explain why policies succeed or fail.
- **Public Administration (PA)**
 - The study of the management of government and nonprofit organizations, including the management of information, money, and personnel in order to achieve goals developed through the democratic process.
 - The management of public programs is an integral part of the policy process. PA scholars study the motivation of program implementers and targets, and help research innovations to improve service delivery.
- **Public policy**
 - The study of what governments choose to do or not to do, including studies of the policy process, policy implementation and impact, and evaluation.
 - We give this label to the highly interdisciplinary study of the public policy process. Policy scholars develop theories about how the policy process works, and develop tools and methods to analyze how policy is made and implemented.

2.5. What is Public Policy

Public Policy has been defined by various scholars with conceptualizations that sometimes vary from one another. Some of the common definitions in the policy literature include:

- “The term public policy always refers to the actions of government and the intentions that determine those actions. It is the outcome of the struggle in government over who gets what.” Clarke E. Cochran et al.
- “Whatever governments choose to do or not to do.” (Dye, 1992)
- “Public policy consists of political decisions for implementing programs to achieve societal goals.” (Cochran & Malone, 2010a, 2010b)

- “Stated most simply, public policy is the sum of government activities, whether acting directly or through agents, as it has an influence on the life of citizens.” (Peters, 1986)

Dear trainees, have you read the above definitions? Great! What was the key issue among all the definitions?

2.6. What Makes Public Policy Public?

- In the philosophy of liberal democracy, power derives from the consent of the governed - that is, the people themselves.
- The people, and not royalty or the state, are therefore sovereign.
- In such context, when policy advocates seek to induce the government to make policy (by taking an action or refusing to do so), or when government actively engages in actions these advocates support, one can make a claim that the government does so in the public interest.
- In some states there are groups called public interest research groups, or PIRGs, which promote their interpretation of the public interest.
- Public interest is the assumed broader desires and needs of the public, in whose name policy is made. The public interest is hard to define, but is something to which all policy advocates appeal.
- Public policy is related to the public interest because it affects all of us in some way.
- We are not all affected by the same policies in exactly the same way, nor is one’s intensity of feeling about an issue necessarily equal to that of others. And many of us don’t have any particular issue that would cause us to mobilize with others to demand policy change.
- State and local governments tax us, can restrict how we use our land through land use planning and zoning, define what the schools can and cannot teach, and make rules about everything from the operation of the state fairgrounds to where and when we can own and carry firearms.

2.7. Understanding Policy Further

Another way to understand policy further is discussing it in relation to related concepts. The concept of Policy is discussed in relation to Plan and strategy. In this section, we will discuss policy in relation to these two concepts.

2.8. Policy versus Plan

Policy is distinct from planning in terms of:

- The scope of the inventory or data-collection phase,
- The constraints and elimination of alternatives,
- The types of documents produced,
- The definition of the client,
- The orientation towards an issue,
- The time horizon examined and
- The approach to implementing a decision.

Table 1 : Comparing Plan and Policy in a Nutshell

Planning is characterized by	Policy is characterized by
An extensive inventory phase, usually to collect the necessary data on the environment, existing infrastructure, demographic and economic characteristics of a situation or group;	An inventory or issue search phase limited in scope and directed at a particular issue;
An exhaustive search for alternative solutions which, nonetheless, is severely constrained, with significant alternatives being eliminated before presentation to ultimate decisionmakers (that is, clients or the public);	A constrained search for alternatives which are all usually evaluated and presented to ultimate decision-makers (clients or the public);
The preparation of a plan of action;	The preparation of memoranda, issue papers, policy papers, or draft legislation;

Planning is characterized by	Policy is characterized by
Unspecified client, for example “the public interest”;	A particular client, for example a public interest group, neighborhood, or business group, which is likely to have a particular perspective on the problem;
A subject-oriented as opposed to a problem-oriented approach and scope to problems;	An issue or problem orientation which can also be described as a reactive posture;
A longer time horizon, at minimum of 10 years;	A limited time horizon often compromised by the terms of elected officials and political, and other uncertainties; and
An apolitical approach to the process of implementing a given plan.	A political approach to the process of implementing a decision, which requires political leadership to champion a given policy.

2.9. Policy versus Strategy

- **Policy (the route)**
 - Refers to a set of rules made by the organization for rational decision making.
 - Policy lays down the course of action, which is opted to guide the organization’s current and future decisions.
- **Strategy (the vehicle)**
 - A unique plan to achieve a competitive position in the market
 - To reach the organizational goals and objectives.
 - Strategy is a game plan
 - To achieve the organisational objectives,
 - Gain customer’s trust,
 - Attain competitive advantage and to acquire a market position.
 - An interpretative plan, that guides the enterprise/organization in realizing its goal.

- **Key features of a strategy**

- It should be formulated from top-level management.
- However, sub-strategies can be made by middle-level management.
- Should have a long-range perspective.
- Should be dynamic in nature.
- The main purpose is to overcome from uncertain situations.
- It should be made to make the best possible use of scarce resources.

Table 2 : Policy Versus Strategy in Summary

Points of Comparison	Strategy	Policy
Meaning	Strategy is a comprehensive plan, made to accomplish the organizational goals.	Policy is the guiding principle, that helps the organization to take logical decisions.
What is it?	Action plan	Action principle
Nature	Flexible	Fixed, but they allow exceptional situations
Related to	Organizational moves and decisions for the situations which have not been encountered previously.	Organizational rules for the activities which are repetitive in nature.
Orientation	Action	Thought and Decision
Formulation	Top Level Management and Middle Level Management	Top Level Management
Approach	Extroverted	Introverted
Describes	Methodology used to achieve the target	What should be done and what should not be done.

Dear Trainees,

We have covered key issues in policy/ public policy. Now, it is time to stop and reflect on the level of confidence that you comprehend and articulate the major issues we covered. Use the checklist below.

2.10. Section Wrap-up

Dear Trainees, there you are!

In this introductory section, we attempted to introduce you to the basics of policy and public policy. We briefly discussed issues that make public policy- public. We highlighted the difference between policy and plan as well as policy and strategy. Should you feel like referring to or reading again any section we covered so far, we encourage you to do so. Thank you.

Checklist

Issues covered	Yes	No	Not Sure
I can define Policy			
I explain what makes public policy public			
I can describe the policy as conceived by various disciplines			
I can elaborate on the meaning of policy analysis			
I can define policy formulation			
I can differentiate between plan versus policy and policy versus strategy			

3. Section Three: Elements of Policy Making-Input/Output

Mode of Delivery

This section employs an interactive lecture as its mode of delivery. The trainer starts the session with an introduction of the topic and presents brainstorming questions to elicit ideas and to open up discussion among the participants. S/he then presents the lesson encouraging two-way interactive communication with the participants. We recommend energizers in between, involving the trainers as providers whenever possible. The trainer could maximize opportunities for the participants to make the most out of the session if s/he encourages them to complete the checklist/ reflection table before winding up the session.

Key Terms

- Think tank
- Stage Model
- System Model
- Agenda setting
- Policy-input
- Policy-output
- Policy process as a system
- Interest group
- Economic interest group
- Public interest group
- Lobbying
- Issue emergence

Section Overview

This section explains how elements of policymaking play a role in the policy process. It also describes the policy-making process and provides types of policy-making processes, including the stages and input-output models. Besides, the section summarizes those variables which play crucial roles in policy design and steps in the policy-making process. Moreover, the section describes why input and output policy are crucial elements in policy study.

Section Objectives:

At the end of the section, you will be able to:

- Describe the policy process as a system.
- Describe the essential elements of policymaking.
- identify the policy design model in policymaking.
- Define issue emergence.
- Describe the input-output model.
- List four policy environments that influence policy.
- List mechanisms to communicate with elected officials in Ethiopia.
- Define interest groups.
- Explain the role of news media in the policy process.

Dear trainees, before discussing the main topics in this section, please use a pen and paper and write the answer for each of the following questions. Then read the text and compare your answer with what is in the text.

List the types of models which explain the policy-making process.

Have you tried? Good! Now, read the following paragraphs.

3.1. Policymaking Process

The term “policy process” suggests that there is some sort of system that translates policy ideas into actual policies that are implemented and have positive effects. The standard policy process has a series of steps, which in practice may overlap with one another or occur in a different order than they are presented here. As such, it is not necessary that all issues be processed exactly as ordered or in the distinct steps listed. Public policy textbooks have presented what is known as the “textbook model” or “stages model” of the policy process.

Dear trainees, before discussing the main topics in this section, please write the answer for each of the following questions. Then read the text and compare your answer with what is in the text.

Could you list steps in stage models of the policy-making process?

3.2. Stages Model

The stage model explains that the policy process or cycle can be summarized into six steps, as shown in Figure 3 below. The policy process as a cycle has no beginning and end as it is a circular process (Birkland, 2019).

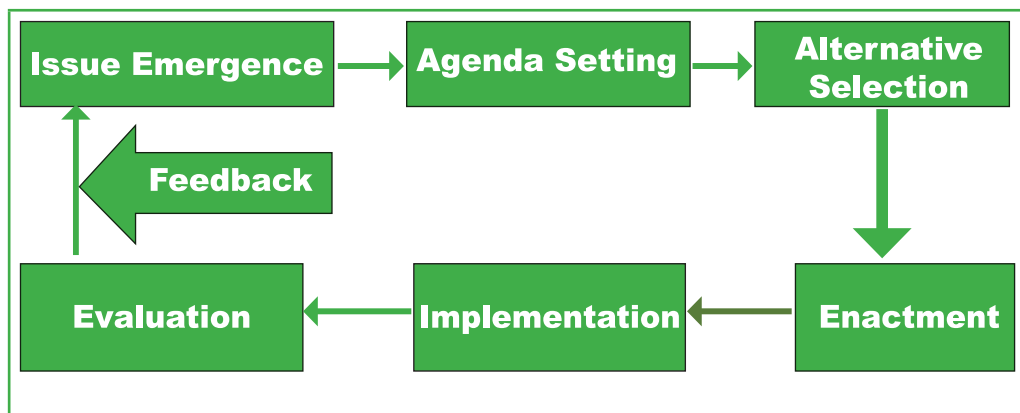


Figure 3 : The Stages Model of the Policy Process

The stages model of the policy process owes a great deal to systems thinking, a way of thinking about all manner of things - from social to biological to mechanical systems. The stages model includes issue emergence, agenda setting, alternative selection, enactment, implementation, and evaluation.



Figure 4 : TTG members during breakout session

Issues Emergence

Issues are those problems or situations that affect people and require or demand some form of government involvement and action. Public problems emerge in society through various means, including sudden events like disasters or through the advocacy activities of concerned citizens and interest groups.

Dear participants, what kind of questions one should ask to identify certain problem to be a policy issue?

Relevant questions in identifying policy issues are listed in the box below:

- Who is affected? Is it a large or small number of people? Is it a broad cross-section (or universal) group or a narrow (or selective) group?
- How are people affected? Is it through personal exposure or indirectly via the media? Is the effect on people affected by the issue deemed to be serious?
- When will the effects be felt? Immediately, in the short-term, or in the long-term?
- What can be done about the problem? Should the government be intervening?
- What are the costs of a solution?

Agenda setting

Agenda setting: The process by which problems and alternative solutions gain or lose public and elite attention. The activities of various actors and groups cause issues to gain greater attention or prevent them from gaining attention. Group competition to set the agenda is fierce because no society, political system, official actor, unofficial actor, or individual person has the capacity to address all possible alternatives to all possible problems that arise at any one time. New issues are most likely to be placed on the agenda if one or more of the following circumstances apply:

- The issue can no longer be ignored or has reached crisis proportions (for example, a natural calamity);
- The issue has achieved particularity – that is, the issue serves to magnify and dramatize a larger issue (for example, acid rain as symptomatic of industrial pollution);
- The issue has an emotional or human-interest aspect that attracts media attention
- The issue has a large or wide impact (public health scares);
- The issue raises questions about power and legitimacy in society .
- The issue is fashionable and easily recognized (such as inner-city crime in Ethiopia).



Figure 5 : TTG members discussing on policy agendas

Elements of Policy Design

Dear trainees , what issues should policymakers consider when designing a policy addressing certain public problems?

3.3. Major elements in the Policymaking process

Issues Emergency

- Issues are those problems or situations that affect people and require or demand some form of government involvement. Public problems emerge in society through various means, including sudden events like disasters or through the advocacy activities of concerned citizens and interest groups.
- Issue search refers to the identification and anticipation of such problems or opportunities. Issues may be identified by a variety of different actors in the policy-making process.
- Major sources of policy proposals include :
 - Organized interests (pressure groups or special interest groups), bureaucracy, political parties and politicians, command organizations and other jurisdictions (such as international agreements or pressure).

Dear trainees , what kind of questions one should ask to identify a certain problem to be a policy issues?

Relevant questions in identifying policy issues are listed in the box below:

- Who is affected? Is it a large or small number of people? Is it a broad cross-section (or universal) group or a narrow (or selective) group?
- How are people affected? Is it through personal exposure, or indirectly via the media? Is the effect on people affected by the issue deemed to be serious?
- When will the effects be felt? Immediately, in the short-term, or in the long-term?
- What can be done about the problem? Should government be intervening? What are the costs of a solution?

Agenda setting

Dear trainees, given the size and complexity of governance in Ethiopia and the number of governments, there are lots of problems and lots of ideas on many agendas. If the issue gains sufficient attention, it is said to have reached the agenda. Why do you think certain problems are ignored while others are placed on the agenda?

- In order for the government to address an issue that has been identified, it must first get onto the government's policy agenda.
- The key players in priority setting in an administrative system may include the prime minister and cabinet, central agencies such as the treasury office and finance ministry, other line ministries and caucus of the political party in power.
- With respect to policy development, the activities of these groups include: ranking policy issues, selecting appropriate policy instruments and developing the fiscal framework for implementation.

Dear trainees, what conditions makes a new problem to be placed on the policy agenda?

New issues are most likely to be placed on the agenda if one or more of the following circumstances apply:

- The issue can no longer be ignored or has reached crisis proportions (for example, a natural calamity);
- The issue has achieved particularity – that is, the issue serves to magnify and dramatize a larger issue (for example, acid rain as symptomatic of industrial pollution);
- The issue has an emotional or human-interest aspect that attracts media attention
- The issue has a large or wide impact (public health scares);

- The issue raises questions about power and legitimacy in society
- The issue is fashionable and easily recognized (such as inner-city crime in Ethiopia).

- Such circumstances in themselves don't guarantee access to the policy agenda as various agenda-setters such as organized interests, protest groups, political leaders, "informed" opinion and senior officials and advisors also influence the selection of issues that make it on to the policy agenda.

Issue filtration

Once the government has identified an issue and decided that action is required, the question arises as to how the plan of action is to be determined.

- For example, should the issue be left to political mechanisms and normal administrative processes for resolution or is there a need for fundamental analysis to understand the issue?

A list of criteria for issue filtration to be taken into account when determining whether an issue is appropriate for conventional methods and systems or requires formal analysis. They suggest the following criteria as priority matrix for issue filtration.

- **Issue's Context:** Time for analysis? Not too politicized? Not fixed positions? Centrality?
- **Issue Characteristics:** Scope for choice? Absence of consensus? Complexity? Uncertainty? Not too value-laden?
- **Issue Repercussions:** Significant consequences? Many people affected? Significant group? Significantly affected? Tendency to ramify? Limiting future options?
- **Cost of Action and Analysis:** Costly to act? Quantum jump in cost? Ties up resources? Cheap analysis? Pay-off from analysis?

Decision tree

The use of decision trees as filters acknowledges that, certain criteria differ in order of significance from others, and as such, time and resources can be more efficiently used if these criteria are evaluated first before moving on to further investigation (Hogwood & Gunn, 1984).

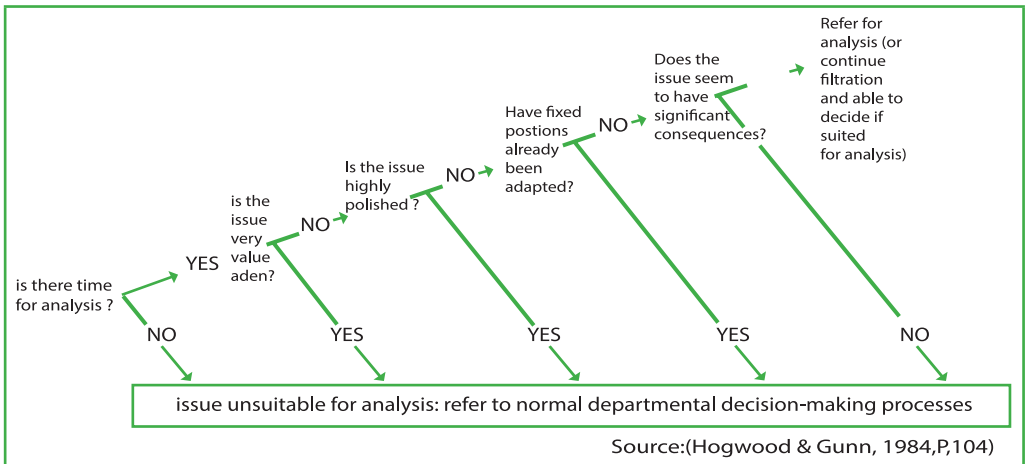


Figure 6: Decision Tree

Issues definition

- Once a policy issue has been identified, further definition is often required before a policy to deal with it is developed.
- Issue definition is the process by which an issue (which could be a problem, opportunity, or trend) on the public policy agenda is perceived, explored, articulated and defined in terms of causes, components and consequences by interested parties.

Issues definition: is crucial in defining the remaining stages of the policy process.

- The issue achieves recognition by political processes,
- Influences the objective setting, identification of policy options, standards for success of the policy or programme, monitoring and evaluation.
- Issue-definition might be highly subjective or have elements of objective analysis. Often the issue is a combination of other issues that overlap with one another.

Policy Design and Policy Tools

Dear trainees, once an issue moves up on an agenda and the issue becomes the public problems. What do you think is the next step the policymakers would be going to work on?

Policy Design

- Once an issue moves up on an agenda it moves to the development of alternative policy responses - some might call them solutions - to public problems.
- Once a problem has been identified and decision-makers place the issue on the agenda for active consideration, there is still more to do to move an idea from a successful contestant on the agenda to a fleshed-out policy.
 - The first is policy design, which is the process by which policies are designed, both through technical analysis and through the political process, to achieve a particular goal.
 - After the policy is designed, it is enacted using policy tools and then implemented, at which point the administrative agencies translate the will of the executive and legislative branches into actual policy outcomes.

Dear trainees, we will discuss about policy tools in the next sub - section of this section.

The initial debate over policy is about whether something really is a problem, to what extent it is a problem, who it affects, and so on. The definition of the problem often shapes the way the problem is treated throughout the policy process.

For example:

- Is the land degradation an “act of God,” about which little or nothing could have been done before the event, or
- Is the land degradation less a meteorological phenomenon and more a focusing event that worsened and called attention to social and technological problems that can be mitigated or avoided through appropriate public policy?

Policy Tools

Dear trainees, after the policy is designed. What do you think is the next step the policymakers would go to work on?

- Closely related to the causal theory is the choice of policy tools, or policy instruments, which can be used to create the desired outcome. Policy tools as “elements in policy design that cause agents or targets to do something they would not do otherwise or with the intention of modifying behavior to solve public problems or attain policy goals.”
- Then, policymakers move to alternative policy selection; that is, the choice of policy tools that will use to address the problem , where upon policies are enacted.
- Enactment means that a law is passed, a regulation is issued, or some other formal decision is reached to take a particular action to solve a problem.
- At this point the administrative agencies translate the will of the executive and legislative branches into actual policy outcomes. Policy tool is “a method through which government seeks a policy objective.”

Types of Policy Tools

Dear trainees,how government works to achieve its goals by carefully thinking about the broad types of tools and how the government uses them to achieve certain ends?

- There are many different government policies, there should be relatively few types of tools used to achieve the goals set out in the policy.
- Earlier government activity was largely restricted to the direct delivery of goods or services by government bureaucrats, it now embraces a dizzying array of :
 - Loans, loan guarantees, grants, contracts, social regulation, economic regulation, insurance, tax expenditures, vouchers, and more.
- Thinking about tools is particularly useful because there are “central characteristics” of tools that distinguish some tools from others. The key would then be to find the central characteristics of the various tools.

- One can do so by looking at the four dimensions of tools :
1. The first is “The nature of the activity in which government is engaged.” What it is that the government is doing to achieve a goal? There are four broad categories:
 - a. Outright money payments ...
 - b. Provision of goods and services, including information ...
 - c. Legal protections, such as monopolies or guarantees ...
 - d. Restrictions/penalties,” such as regulation or criminal laws.
 2. The “structure of the delivery system.” The delivery system reflects the extent to which implementations are likely to be more or less complex. It can be as “direct” and “indirect.”
 - a. Direct service delivery involves systems in which the federal government is the sole actor in the delivery of a service.
 - b. Indirect service provision involves the delivery of service through an intermediary, such as another level of government, or a private actor, such as a business or nonprofit agency.
 3. Related to the structure of the delivery system is what we call the “degree of centralization.”
 - a. The more direct service is provided, the more the administration of the program is centralized.
 - b. Some federally provided services are also relatively decentralized.
 4. The “degree of automaticity” of a policy tool, or, in other words, “The degree to which programs require detailed administrative action.”
 - a. Tax incentives are largely self-executing because individuals will seek them out, thereby promoting the goals of the policy.
 - b. The mortgage tax deduction is a virtually effortless way for the government to promote home ownership, because homeowners know that they can take the deduction and actively wish to do so.
 - c. On the other hand, welfare programs that rely on a determination of eligibility “require almost case-by-case administra-

tive decision making” that requires a substantial degree of management effort.

Other Categories of Policy Tools

Two broad categories of policy tools: “economic models” and “political models.”

- Economic models of policy tools focus on individual freedom, initiative, and choice, therefore tending to value non-coercive tools over those that are more coercive.
- Welfare economists, whose focus is on overall societal well-being rather than the aggregation of individual well-being (the focus of neoclassical economists), do acknowledge the need for more coercive tools (such as an income tax) to correct some of the flaws of laissez-faire economics.
 - The selection of a policy tool is a technical question in which the problem to be solved, the agent to solve it (government, private sector, or some combination), and the nature of the tools themselves are matched with each other to find the best possible solution to a problem.

By contrast, policy tool choice from a more political perspective tends to follow this using the most coercive policy instruments.

- Clearly, this is not merely a technical matter: if the selection of how to deal with a problem is at least partially a function of societal pressures to favor one policy tool or another, then “politics” is involved not only in the understanding of the problem but also in the ways we choose to solve it.
- But there are important shortcomings to thinking about instruments from a solely political perspective.
 - The matter of substitutability of one tool for another is not so simple, because political systems are constrained in their choice of tools, both ideologically and legally.

A potential problem with the economic way of thinking is that economics often makes too many assumptions about what is possible in policymaking, on two levels.

First, it assumes we really know what the problem is.

Second, the economic perspective assumes that we have reasonably reliable information on how policy tools work.

Perhaps the most useful way to think about tools is the extent to which they are coercive or non-coercive.

- The more coercive a policy is, the more likely compliance with the policy can be achieved, but the more likely it is that considerable resources will have to be devoted to providing the coercion needed to create compliance.
- Non-coercive policies such as incentives and hortatory policies are much easier to administer by virtue of their design and of the assumptions we make about how people will behave, but the likelihood of success is highly variable.

In the end, while the categories of tools are useful descriptors of the types of tools that one can use to achieve a set of goals, Levine, Peters, and Thompson (1990) provide a scheme for assessing the strengths and weaknesses of each tool (Levine et al., 1990).

Table 3 : Characteristics of Policy Instruments

	Certain-ty	Time-liness	Less Cost	Efficiency	Effec-tive-ness	Flexibility	Visibility	Account-ability	Choice
Explana-tion	Cer-tainty of the admin-istrative process and the compli-ance of targets	Extent to which the tool works quickly	Expense of the tool	Extent to which the tool creates maximum outputs for a given input	Extent to which the tools is likely to achieve its goals	Ease with which the tool can be altered to changing needs and circum-stances	Extent to which the program is well known or less well known (some-times invisibility is an important goal)	Extent to which imple-menters are account-able for their actions	Degree of citizen choice afforde by the policy
Direct service provision	+					-	+	+	-
Trans-fers	+					-	+	-	+
Grants	-					-		+	+
Tax expen-ditures	-			+				-	+
Regula-tions	+						+	+	-
Loans	-	-	+				-	-	+
Insur-ance	+	-	+				-	-	+
Con-tracts	-	-		-		+	-	-	+
Licens-ing	-					-			

	Certain-ty	Time-liness	Less Cost	Efficiency	Effec-tive-ness	Flexibility	Visibility	Account-ability	Choice
Informal proce-dures	-		+			+	-	-	
Capacity building	-	-						-	
Induce-ments	-	-	+					-	
Sanctions	+	+	-						
Hortatory tools	-	-					+		+

Note: Plus signs indicate the presence of an attribute; minus signs indicate the absence of that attribute.

Table 4 : Elements of Policy Design

Elements	Questions to ask
The goals of the policy	What are the goals of the policy? To eliminate a problem? To alleviate a problem but not entirely eliminate it? To keep a problem from getting worse?
The causal model	What is the causal model? Do we know that if we do X, Y will result? How do we know this? If we don't know, how can we find out?
The tools of the policy	What tools or instruments will be used to put the policy into effect? Will they be more or less coercive? Will they rely more on incentives, persuasion, or information? Capacity building?
The targets of the policy	Whose behavior is supposed to change? Are there direct and indirect targets? Are design choices predicated on our social construction of the target population?
The implementation of the policy	How will the program be implemented? Who will lay out the implementation system? Will a top-down or bottom-up design be selected? Why?

3.4. Input-output Model

Dear trainees, before discussing the main topics in this section, please write the answer for each of the following question. Then read the text and compare your answer with what is in the text.

Describe the input-output model.

The simplest model of the policy process is an input-output model, and this model is also named a systems model.

Input-output model: A model of the policy process that assumes a set of policy demands or inputs, which are then processed by the political system into laws, programs, and the goods and services government provides (Birkland, 2019).

The inputs are the various issues, pressures, information, and the like to which the actors in the system react. In simplest terms, the outputs, on the other hand, are public policy decisions to do or not do something.

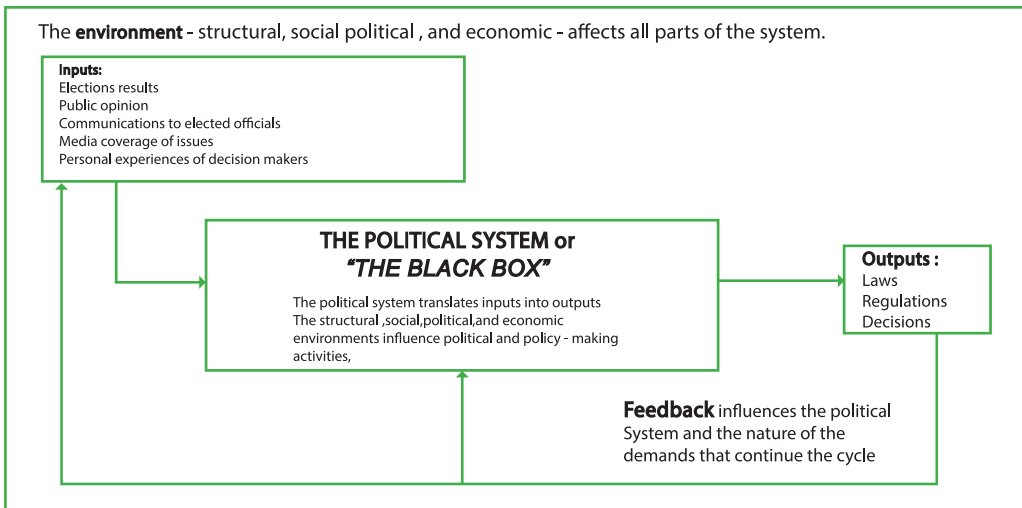


Figure 7: A Systems Model of Politics and Policy

Dear trainees, before reading the next text of this section, take a pen and paper. and write the answer for each of the following questions. Then read the text and compare your answer with what is in the text.

Could you describe what the policy process means?

Could you tell us the golden concept of the policy process as a system?

Have you tried? Good! Now, read the following paragraphs.

3.5. Policy Environment

The term “policy process” suggests that some sort of system translates policy ideas into actual policies that are implemented and have positive effects. Traditionally, public policy textbooks have presented what is known as the “textbook model” or “stages model” of the policy process, which focuses on systems thinking.

Could you describe what system thinking means?

Systems thinking: A way of thinking about natural or social phenomena as a system in which various inputs into a system are handled, processed, and interact with each other to create a set of discernible outputs. The Policy Environment as a system has the following elements: The structural, social, economic, political, and other factors that influence and are influenced by policymaking.



Figure 8 : TTG members discussing policy environment

Structural Environment

A structural environment involves rules that dictate how the government goes about its business. Separation of powers refers to the constitutional division of power between the government's legislative, executive, and judicial branches.

Social Environment

The social aspect of the policy environment involves the nature and composition of the population and its social structure, including the composition of the population, by looking at the distribution of age, race, gender, and other attributes.

Political environment

one way that policymakers and other participants in politics assess their political and policy options is by looking at public opinion polling data.

Economic environment

The economic environment includes the growth of the economy, the distribution of wealth in a society, the size and composition of industry sectors, the rate of growth of the economy, inflation, and the cost of labor and raw materials.

Before reading the next text of this section, take a pen and paper. And ,write the answer for the following question. Then read the text and compare your answer with what is in the text.

Enumerate ways people communicate with elected officials in Ethiopia to influence Policy.

Have you tried? Good! Now, read the following paragraphs.

3.6. Election Results

Considering that public policy is made in the public's name, the most obvious place to look for public input might be election results. Voting is the most common form of political participation, and elected officials and the news media often proclaim the results of elections as providing policy guidance or "mandates" to pursue particular policies.

3.7. Public Opinion

Could you describe what public opinion means?

A common way to collect information about public preferences is through public opinion polls, like those cited earlier. Among the better polls are those conducted by or in conjunction with academic institutions. The National Opinion Research Center (NORC) in the US, for example, collects a great deal of public opinion information, particularly at election time. Most people are familiar with big national polls run by newspapers and television networks. Smaller newspapers and other media outlets will subscribe to poll results from reputable national polling firms such as Gallup, Roper, and Louis Harris organizations. While many people distrust public opinion polls, we know from years of experience that they are generally good snapshots of broad public opinion.

Polls are important because they provide policy makers with a broad measure of public sentiments about key topics. Of course, we do not expect our public officials to be entirely driven by the results of public opinion polls, and, in fact, they weigh other information in reaching decisions.

3.8. Communications to Elected Officials

Could you describe what communication to elected official means?

Public opinion is not a direct form of communication from citizens to elected officials. There are numerous ways that people can communicate more or less directly with decision-makers. Among the most common are letters and email messages to elected officials. Members of Congress receive thousands of phone calls, letters, faxes, and emails every year.

Dear trainees, before reading the next text of this section, take a pen and paper. And, write your response to each of the following questions. Then, read the text and compare your answer with what is in the text.

Could you describe what interest group means? List the role of the interest group. Could you explain the objectives of the interest group?

Have you tried? Good! Now, read the following paragraphs.

3.9. Interest Group Activity

Interest groups are important- perhaps central to the policy process because the power of individuals is greatly magnified when they form groups. Groups that represent powerful or privileged interests are partly responsible for citizens' suspicion of interest groups or, as they are often called, special interest groups. People with similar interests gather to amplify their voices in policymaking.

Definition of Interest Group

Interest Group is a collection of people or organizations that unite to advance their desired political outcomes in government and society. There are many different ways to organize these groups by type of interest (public/private, institutional, economic, and so on).

Dear trainees, before reading the next text of this section, take a pen and paper. And write the answer for each of the following questions. Then read the text and compare your answer with what is in the text.

List crucial elements of interest groups.

Have you tried? Good! Now, read the following paragraphs.

One of the most important resources of interest groups is knowledge: specifically, information that might be unavailable or less available to others. Money, knowledge, and information are related to the size of the group and the resources that it and its members can bring to policy conflicts. Some interest groups have very few members, and others have millions of dues-paying members.

Types of interest groups

Dear trainees, before reading the next text of this section, take a pen and paper. And write the answer for each of the following questions. Then read the text and compare your answer with what is in the text.

Could you list the types of interest groups?

Have you tried? Good! Now, read the following paragraphs.

Types of interest groups

There are many ways to categorize interest groups. One can distinguish between an institutional interest group, whose members belong to a particular institution, and a membership group, whose members have chosen to join. If you are a student at a university, you are a member of an institutional interest group - university students - because you share some interests with your fellow students, such as affordable tuition and quality education.

- 1. Institutional interest group** is a group of people, usually not formally constituted, whose members are part of the same institution

or organization.

2. **Economic or private interest groups** are groups formed to promote and defend the economic interests of their members, for example, industry associations.
3. **Public interest groups** are formed to promote what their members believe is the broader public interest.
4. **Lobbying** is the term applied to the organized and ongoing process of persuading the legislative or executive branches to enact policies that promote an individual's or group's interest. The term has taken on a negative connotation.
5. **Astroturf group** is an interest group that appears to have been formed by concerned citizens (that is, from the "grass roots"), but is actually sponsored by a larger interest such as a corporation or labor union.

3.10. Think Thank Groups (TTGs)

Dear trainees, before reading the next text of this section, take a pen and paper. And write the answer for each of the following questions. Then read the text and compare your answer with what is in the text.

Define think tank groups. Describe the role of think tank groups.

Have you tried? Good! Now, read the following paragraphs.

Definition of the think tank group

- Think tank groups are independent research organizations which are sometimes ideologically neutral but often identified with a particular political perspective. Think tanks advocate ideas, develop and maintain policy networks, and provide expertise to policy-makers.
- Think tanks inform decision-makers about policy developments from other countries and can thus facilitate policy learning. They develop ideas into products, disseminate them to an 'effective

public' (Desai, 2006) of opinion formers and participate in strategic communication with civil servants, decision-makers, business people and academics.

- Think tanks build bridges between different policy field stakeholders not as passive intermediaries but as providers of conceptual discourses for policy-making.
- Think tanks can 'significantly contribute to the quality and transparency of policy-making processes.
- Think Tanks seek to provide scientific evidence for policymakers and the wider public and try to influence policy making.
- Think tanks can be understood as centers' of formation of irradiation and dissemination of ideas.

The emergence of complex problems and the need for greater analytic capacity than that possessed by the federal and state governments has led to the growth of independent research organizations, often called think tanks. Some of the most famous think tanks in the US include :

- The Brookings Institution
- The Cato Institute
- The Urban Institute
- The RAND Corporation
- And the American Enterprise Institute.

Some of the famous think tanks in Ethiopia. Only eight out of 94 listed think tanks in Sub-Saharan Africa as based in Ethiopia:

- Ethiopia Policy Studies Institute (PSI),
- Ethiopia Development Research Center, Ethiopian Economics Association (EEA),
- Organization for Social Science Research in Eastern and Southern Africa (OSSREA),
- Institute for Peace and Security Studies (IPSS),
- United Nations Economic Commission for Africa (UNECA),
- Environmental Economics Policy Forum for Ethiopia (EEPFE),
- Institute of Security Studies (ISS),
- Horn of Africa Economic and Social Policy Institute (HESPI).

- Four of them (OSSREA, UNECA, ISS, and HESPI) are regional or international organizations.

Employing scholars and policy experts, these organizations provide information that policymakers and other influential people can use to make “better” policies.

Dear trainees, before reading the next text of this section, take a pen and paper. And write the answer for each of the following questions. Then read the text and compare your answer with what is in the text.

Define the news media. Describe the role of the news media in policy process.

Have you tried? Good! Now, read the following paragraphs.

3.11. The News Media

The news media are important participants in policymaking since they highlight some issues, de-emphasize others, and can therefore shape the public discourse surrounding a policy issue.

Definition of the News Media

Social media: Internet-based systems of information gathering and publishing rely on the actions of a broad range of people, rather than the actions of a few reporters, to find and promote information. Twitter, Facebook, YouTube, and other systems are examples. Journalists and academics have reinforced the belief that the news media play an important role in informing citizens about issues and what their government is doing about them.

The news media can expand issues from narrow groups to broader audiences, thereby creating more pressure for change, or, to use E.E. Schattschneider’s term, can “expand the scope of conflict.” Less powerful groups and interests can gain access to media attention when their stories are sufficiently compelling to attract news coverage, thereby making access to the agenda more democratic. However, we should keep in mind that the news media are not simply passive actors in the decisions to cover

certain news stories. First, interest groups often try to arouse or provoke the news media to devote greater scrutiny to an issue or a problem.

Dear trainees, before reading the next text of this section, take a pen and paper. And write the answer for each of the following questions. Then read the text and compare your answer with what is in the text.

What do all these activities and the interaction between the environment and policy inputs produce?

Have you tried? Good! Now, read the following paragraphs.

3.12. Output

This produces what we can consider the political system's outputs or the basic statements of public policy that reflect the government's intent to do something. This can range from spending money to criminalizing behavior to mounting a public information campaign.

Statute law are laws made by the legislature and signed by the governor. Most such laws are codified into state codes or statutes.

Case law are laws that are made as a result of judicial decisions which influence future decisions. It contrasts with statute law.

Regulations Government agencies and regulatory bodies make the rules to implement the meaning of the laws under which the agencies operate. At the federal level, they are codified in the Code of Federal Regulations and usually have the force of law.

Oversight and Evaluation

Legislative intent : What the legislature meant in drafting legislation, including what the language of the law should mean. Legislative intent is often difficult to discern by courts or other actors.

Evaluation : is the process of investigating whether and to what extent a program has its desired effect.

3.13. Section Summary

This section provided elements of policy making. It presented a brief explanation of two models of policymaking. The first one is the textbook or stage model, which includes six steps in the policymaking process. The

six steps include issue emergence, agenda setting, alternative selection, enactment, implementation, and evaluation. The second is the input-output policymaking model, sometimes called the systems model. The inputs include election results, public opinion, communication with elected officials, media coverage of issues, and personal experiences of decision-makers. The black box or the political system also translates inputs to outputs. The outputs included laws, regulations, and decisions. This section also discussed policy environments that influence all systems of policymaking. The policy environment includes structural, social, political, and economic environments. It also presented the role of interest groups and types of interest groups. Besides, this section discussed the think tank group in detail.

Questions for Understanding

1. What are the strengths of the stages model of the policy process?
2. What are the weaknesses of stages model ? How would you propose we improve on the stages model?
3. What are the strengths and weaknesses of any systems model of a political or social process? How might you overcome the weaknesses you have identified?

Identify a policy area of your choosing. What is the policy environment surrounding it? What are the structural, social, political, and economic features of the environment that shape this area of policy? How do these environmental factors help promote, or inhibit, policy change? If policy change isn't likely soon, what would have to change in the environment to make policy change more likely ?

Checklist

Issues covered	Yes	No	Not Sure
I can describe the stage model			
I can describe the system model			
I can enumerate and describe elements in the stage model			
I can explain the policy environment			
I can describe what interest group means			
I can explain the role of a think tank group			

4. Section Four - Policy Analysis

Mode of Delivery

This section employs an interactive lecture as its major mode of delivery. The trainer is advised to encourage debates and group discussion to contextualize the knowledge and information from the literature. Likewise the previous sections, the trainer starts the session with introduction of the topic and presents brainstorming questions to illicit ideas and to open up discussion among the participants. She/he then presents the lesson encouraging a two-way interactive communication with the participants. We recommend energizers in between, involving the trainers as providers whenever possible. The trainer could maximize opportunities for the participants to make the most out of the session if s/he encourages them to complete the checklist/reflection table before winding up the session.

Key Terms

- Policy Making
- Policy Formulation
- Policy Analysis
- Pluralism
- Neo Pluralism
- Structuralism
- Policy Advocacy

Section Overview

Dear trainees, this section briefly presents policy analysis and formulation. An attempt is made to briefly address various models of policy analysis. It addresses objectives of policy formulation and skills for policy analysis and implementation. It introduces the concept of policy advocacy.

Section Objectives

At the end of this section, you will be able to:

- Explain the different models of policy making and analysis.
- Outline the skills needed for effective policy analysis and implementation.
- Analyze a policy document applying a pertinent model of policy analysis.

Brainstorming

1. Have you been involved in any policy development undertaking (as a policy crafting team and/or strategic plan development team)? If yes, how did you get the experience?

2. Are you familiar with national level policies your organization is responsible to execute (or committed to support)? (Can you list them)?

3. Can you explain what policy analysis means?

4.1. Policy Formulation and Policy Analysis

Policy Analysis

- Policy analysis is evaluation and study of the formulation, adoption, and implementation of a principle or course of action intended to ameliorate economic, social, or other public issues.
- Policy analysis is concerned primarily with policy alternatives that are expected to produce novel solutions. Policy analysis requires careful systematic and empirical study.
- Policy analysis plays an important role in helping to define and outline the goals of a proposed policy and in identifying similarities and differences in expected outcomes and estimated costs with competing alternative policies.

4.2. Definition of policy formulation Policy formulation' refers to:

- The development of specific policy options within government when the range of possible choices is narrowed
 - By excluding infeasible ones and
 - Efforts by various actors to have their favored solution ranked highly among the remaining few.
 - The major objective of formulating a policy is identifying and prioritizing pertinent solutions to pressing policy problems
 - Various models and theories have been developed to explain policy making including Pluralism, Neo-pluralism, structuralism.

Pluralists

- Political power is widely, although unevenly, spread throughout society.
- Although powerful groups exist in particular policy sectors, no single group is continuously capable of shaping the entire policy process.
- Pluralists assume.
- Agenda setting is open and competitive, with the government acting as an honest broker.
- Once adopted, though, policies must still be steered through the implementation process.
- Grievances on policy are openly debated

Neo-pluralists

- Business occupies a 'privileged' position compared to other groups.
- Vehicles like the mass media help to structure environmental politics removing 'grand majority' issues concerning the fundamentals of the political order from the agenda, leaving citizens to debate residual 'secondary' concerns.
- Grievances on policies are organized out of politics by institutional rules and routines.
- Policy making occurs within small and stable groups of actors (or networks) clustered around particular government departments.

- Policy outcomes then generally reflect business preference.

Structuralists

- The state is under powerful structural pressure to nurture economic growth regardless of the environmental implications.
 - Most environmental controls are nothing more than a sham, introduced to pacify critics and keep the conflict between economic classes to manageable levels.

4.3. Models of policy formulation, analysis and implementation

This sub-section presents the common models of policy formulation and analysis featured in the literature.

4.4. Rational Model

- Also called the Decision-Making Model.
- The rationality principle emphasizes that policy formulation is making a choice among policy alternatives on rational grounds.
- Rational policy making is “to choose the one best option”. Usually involving five steps
 - Identification of society’s value preferences and their relative weights.
 - Finding policy alternatives that are available.
 - Evaluation of the consequences of each policy alternative.
 - Calculation of the cost benefit ratio for each policy alternative and;
 - Selection of the most efficient policy alternative.

4.5. Incremental Model

- The Incremental Model is popular because it fits well with what actually goes on in government
- Policies generally have societal character, since they determine the fate of people. Any policy should not be formulated on a larger scale without understanding its repercussions.
- Policies are introduced on a smaller scale in the beginning and then they are expanded gradually.
- Increment is a unit of measure here.

4.6. Group Theory Model

- Group theory is an approach which seeks to maintain equilibrium in the society, balancing the interests of various groups.
- Public policy is a product of group struggle. Individuals having common interests and demand to join hands together and form formal or informal groups, in order to influence the policies of the government to suit their needs.
- Policy formulators succumb to the pressures of the dominant groups through bargaining, negotiating and compromising.
- Thus, in the process of group struggle, the demands and desires of the pressure groups enter the government arena and policy is formulated.

4.7. Elite Theory Model

- Public policies are formulated as per the preferences and values of the elites. This model postulates that a society is divided into a few segments - those who have the power and those who do not have it.
- The ruling elite i.e., the political executive decides the policy and this is finally carried out by the bureaucrats who form part of the next segment of the elites.
- The policies tend to flow from the top and do not move up from the bottom.
- Competition to influence policy is between elites in power and other elites attempting to come to power.
- Policies are formulated by the ruling elite and the governing elite. The bureaucrats carry those into effect.

4.8. Institutional Model

- Public policy is an institutional activity since it is formulated through cooperative effort. Policy formulation is not an individual effort.
- Policy formulation is the outcome of the internal agenda of government institutions rather than the result of external pressures and influences.

- Power is exercised by different individuals and groups such as the Prime Minister, Members of Parliament, bureaucrats, leaders of interest groups
- Government institutions give public policy three distinctive characteristics at least in three ways:
 - The government gives legal authority to policy, as it gets the approval of the law-making body.
 - A policy gets universal character, as it can be applied to the entire society.
 - Public policy is backed by coercive power, since it is formulated by the government. The government can thus impose legal sanctions on violators of its policies.

4.9. Game Theory Model

- Game theory talks about strategic decisions that players make in a competition, where each participant or player seeks to maximize gains and minimize losses.
- In a competition, one person's gain becomes another person's loss.
- A public policy may not provide advantages to all sections of the people.

4.10. Systems Model

- The Policy Process is viewed as a political system that responds to the demands of the environment.
- A policy is the response of the political system to the changing demands and desires of the people.

4.11. The Foucauldian inspired Caol Bacchi Model

This approach argues most of the models of policy making are limited to problem-solving approach. Policy analysis, however, needs to begin with problem representations. This model assumes that policies and policy makers 'create their version of the problem' in an attempt to address a certain issue. Hence, a need for 'problem questioning'.

- A problem representation refers to the understanding of the 'problem' implied in any policy or rule.

- What's the problem represented to be?: An approach to policy analysis is guided by critical questions:
 1. What's the 'problem' (e.g. of 'problem gamblers', 'drug use/abuse', domestic violence, global warming, health inequalities, terrorism, etc.) are represented to be in a specific policy?
 2. What presuppositions or assumptions underlie this representation of the 'problem'?
 3. How has this representation of the 'problem' come about?
 4. What is left unproblematic in this problem representation? Where are the silences? Can the 'problem' be thought about differently?
 5. What effects are produced by this representation of the 'problem'?
 6. How/where has this representation of the 'problem' been produced, disseminated and defended? How could it be questioned, disrupted and replaced? (Bacchi, 2009)
- Policy makers, however, tend to 'create' their version of the 'problem' putting their ideological stance and priority of issues into frame often to achieve short-term political objectives (Melisew & Tesfaye, 2020)
- Executive driven policies in less democratic societies like Ethiopia have mostly been prescriptive with very little attempt, if any, to consult the public on policy 'problems' (Melisew & Tesfaye, 2020)

What is different with the 'what is the problem represented to be' approach?

- The commonsense understanding of problematization as how something is put forward (or represented) as a 'problem'.
- It is critically important to interrogate the problem representations that lodge within public policies to see what they include and what they leave out.
- As problematization, and the problem representations they contain, reduce complexity, they can be described as framing processes.

- The focus in a ‘what’s the problem represented to be?’ approach is on the ways in which problematizations are central to governing processes.
- In order to understand how we are governed, we need to examine the problem representations that lodge within policies and policy proposals.
- To summarize the two key premises put forward so far:
 - We are governed through problematisations.
 - We need to study problematisations (through analyzing the problem representation they contain). Rather than ‘problems’.
- The goal of a ‘what’s the problem represented to be?’ approach to policy is to problematise (interrogate) the problematisations in selected government policies, through scrutinizing the premises and effects of the problem representations these problematisations contain.
- A ‘what’s the problem represented to be?’ approach offers both a novel way of thinking and a new way of analyzing policy.
- As a way of thinking the approach mounts a challenge to the current dominant intellectual paradigm that focuses on solving ‘problems’.
- A case is made for a new paradigm, ‘problem-questioning’ rather than ‘problem-solving’.

The scope of a ‘what’s the problem represented to be?’ approach

The approach institutes three ‘cross-border’ moves:

- We are governed through problematisations.
- We need to study problematisations (through analyzing the problem representations they contain) rather than ‘problems’.
- We need to problematise (interrogate) the problematisations on offer through scrutinizing the premises and effects of the problem representations they contain.

We encourage you to apply this list of questions to your own problem representations.

4.12. Policy advocacy

- Advocacy encompasses a wide range of activities that influence decision makers. Advocacy includes traditional activities such as litigation, lobbying, and public education.
- It can also include capacity building, relationship building, forming networks, and leadership development.
- Lobbying refers to activities that are intended to influence a specific piece of legislation.

Activity

Work on a brief analysis of the rural development, natural resource management (NRM) or agricultural or any related sectoral policy of your interest that Ethiopia adopted using Carol Bacchi's 'What is the Problem Represented to be' approach.

Questions for understanding

Based on issues we covered in this section, discuss the following questions on the next page.

1. Explain what policy analysis involves

2. What do you understand by policy advocacy?

3. How do you conceive Policy formulation?

4. Explain the common models of policy making and suggest the model that may better fit to our context?

5. Compare and contrast the rational model with that of the incremental model to policy Analysis ?

6. Enumerate and elaborate the basic issues the systems model of policy analysis highlight?

7. Assume that you are asked to analyze the Natural Resource Management (NRM) Policy of Ethiopia, which model would you adopt? Why?

8. Discuss the logic of Carol Bacchi's 'what is the problem represented to be' approach to policy analysis? What makes it different from the other models we discussed (like rational model and the incremental model) ?

-
9. Currently, which model of policy formulation/analysis, do you think, is predominantly used in Ethiopian policy making practice?
-
-
-

4.13. Section Wrap up

Dear Trainees,

In this section we covered policy analysis. We introduced you to the basics of policy analysis with major models in the field. Each model/approach has its own goals, strengths, and limitations. We hope you enjoyed the section and that you are able to apply your chosen model to analyze your respective sectoral policies. Now, it is time to stop and reflect on the level of confidence that you comprehend and articulate the major issues we covered. Use the checklist below. Should you feel referring to or reading again any section we covered before, we encourage you to do so. Thank you!

Checklist

Issues covered	Yes	No	Not Sure
I can explain what policy analysis involves			
I can articulate the major models in policy analysis			
I can describe the difference between rational model of policy analysis and the incremental model			
I can explain Carol Bacchi's model of policy analysis (the 'what is the problem represented to be' model)			
I can explain policy formulation from various perspectives			

5. Section Five: Policy Implementation and Failure

Mode of Delivery

This section employs an interactive lecture, and group activities as its mode of delivery. The trainer starts the session with introduction of the topic and presents brainstorming questions to illicit ideas and to open up discussion among the participants. S/he then presents the lesson encouraging a two-way interactive communication with the participants. The trainer need to use flip-charts to maximize visualization and to engage trainees in group activities and oral presentations. We recommend energizers in between, involving the trainers as providers whenever possible. The trainer could maximize opportunities for the participants to make the most out of the session if s/he encourages them to complete the checklist/reflection table before winding up the session.

Key terms

- Implementation.
- Approaches to implementation.
- Top-down approaches.
- Bottom-up approaches.
- A third-generation approaches.

Section Overview

This section focuses on policy implementation, failure, and learning. In reading about implementation, it is important to note that it is impossible to separate the process of designing policies from their implementation much as all the policy process stages are hard to separate.

Section Overview

At the end of the section, you will be able to:

- Explain policy implementation.
- Explain policy monitoring.
- List and describe the model of policy analysis and planning.
- Enumerate the process of policy implementation.
- Describe barriers to policy implementation.
- Explain policy implementation failure.

Dear trainees, before reading the next text of this section, take a pen and paper. And write the answer for each of the following questions. Then read the text and compare your answer with what is in the text.

Can we separate policy design and implementation as two separate elements in policy processes?

Have you tried? Good! Now, read the following paragraphs.

5.1. Why Policy Design and Implementation Difficult to Separate?

Policy design and implementation are difficult to separate from the policy process for the following reasons

1. Design and implementation are very closely related because the choices made in the design of a policy will profoundly influence the way a policy is implemented, which then influences the outcomes of these policies. In fact, policy designers often base their policy designs on experience with similar policies that have already been implemented.
2. Once policies are implemented, experience with it and with similar policies will often change the policy design, even when the policy and goals are supposedly in place and operating. This policy changed, to a considerable extent, because implementation was not as successful as had been hoped.

5.2. The Implementation of Public Policies

Dear trainees, before before reading the next text of this section, take a pen and paper. and write the answer for each of the following questions. Then read the text and compare your answer with what is in the text.

Could you define policy implementation

Have you tried? Good! Now, read the following paragraphs
Once the designers of policies have designed their policy tools, the various actors in the policy process turns their attention to the implementation of public policy. The study of program implementation is concerned with what happens to a policy or program after it has been formulated.

- Implementation is the process by which policies enacted by the government are put into effect by the relevant agencies.

Of course, the above description of implementation in the policy process is linear and simplistic. It assumes that policy design and tool selection occur separately from policy implementation. In fact, we know that both aspects are important to the success of public policies. But we can distinguish between the design and tools phase and the implementation phase to the extent that policy implementation relies on the behavior of the implementers and the policy targets. While policy designers may be able to anticipate these behaviors, one is never sure how policy will actually be implemented once the policy interacts with the various aspects of the policy environment, with the actual implementers, and the policy targets.

Dear trainees, before reading the next text of this section, take a pen and paper, and write the answer for each of the following questions. Then read the text and compare your answer with what is in the text.

Could you please list the advantages responsible actors obtain from challenges faced on policy implementation?

Could you list the types of implementation design?

Have you tried? Good! Now, read the following paragraphs.
It is important to understand policy implementation because it is a key feature of the policy process and learning from the problems encountered in implementation. it can foster learning about better ways to structure policies to ensure that they have the effects which, designers of these policies seek. In addition, to a greater extent than other elements of the policy process, implementation studies have emphasized advice to policy makers as to how to structure programs to increase the likelihood of implementation success. Thus, when students of policy implementation talk about “top-down” or “bottom-up” implementation designs, they are talking about ways

of studying policy design and ways of structuring policy implementation to enhance the likelihood of implementation success. In any case, we do know, and have known for some time, that policies are not self-executing, and that some policies become even more controversial during implementation than they were during the debates over their adoption.

5.3. Approaches to the Study of Implementation

Dear trainees, before reading the next text of this section, take a pen and paper. And write the answer for each of the following questions. Then read the text and compare your answer with what is in the text.

Could you explain which approaches are very appropriate for our country's situation?

Could you please describe what the bottom-up approach means?

Have you tried? Good! Now, read the following paragraphs.

5.4. Top-Down perspective

The first of these approaches emphasize a “top-down” perspective on policy implementation. Its proponents claim that one can understand policy implementation by looking at the goals and strategies adopted in the statute or other policy as structured by the implementers of policy. These studies focus on the gaps between the goals set by a policy drafters and the actual implementation and outcomes of the policy.

5.5. Bottom-up approach

The second approach emphasizes a “bottom-up” perspective, which suggests that implementation is best studied by starting at the lowest levels of the implementation system or “chain” and moving upward to see where implementation is more or less successful.

Top-Down Approaches to Implementation

Proponents of Top-Down Approaches

The top-down approach is based on a set of important assumptions:

1. Policies contain clearly defined goals against which performance can be measured. As Neal Ryan (1995) puts it, “Top-down implementation strategies greatly depend on the capacity of policy objectives to be clearly and consistently defined.”
2. Policies contain clearly defined policy tools for the accomplishment of goals.
3. Policies are characterized by the existence of a single statute or other authoritative statement of policy. There is an “implementation chain” that “starts with the policy message at the ‘top’ and sees implementation as occurring in a chain” (Dyer 1999, 47).

Dear trainees, before reading the next text of this section, take a pen and paper. and write the answer for each of the following questions. Then read the text and compare your answer with what is in the text.

Could you describe the capacity and commitment of the implementers?
Describe the focus of top-down approaches.

Have you tried? Good!

Now, read the following paragraphs.

Policy designers have good knowledge of the capacity and commitment of the implementers.

- Capacity encompasses the availability of resources for an implementing organization to carry out its tasks, including monetary and human resources, legal authority and autonomy, and the knowledge needed to effectively implement policy.
- Commitment includes the desire of the implementers to carry out the goals of the top-level policy designers . A high level of commitment means that the lower-level implementers, particularly those at the “street level,” such as teachers, police officers, or social workers, share the values and goals of the policy designers.

Top-down approach is a way of studying policy design and implementation that considers the goals of the highest-level policy designers and traces the design and implementation of the policy through the lowest-level implementers.

In a top-down model of policy design, the implementer assumes that these features are present or that any problems suggested by these assumptions can be overcome. The focus then is on creating the proper structures and controls to encourage or compel compliance with the goals set at the top. But there are some substantial weaknesses with this approach that you may recognize from earlier sections in this book.

Problems with Top-Down Models

1. Perhaps the most problematic feature of top-down models is the emphasis on clear objectives or goals. Without a consensus on what program goals are, it is hard to set a benchmark for program success and failure.
2. Another problem with top-down models is the assumption that there is a single national government that can successfully structure policy implementation and provide for direct delivery of services. But most policies made by the federal government require considerable state and, in many cases, local governmental cooperation.
3. Finally, top-down approaches assume that policy is contained in a single statute or other authoritative statement. The fragmented and, in some ways, incrementalist nature of policymaking in the United States means that when one talks about “environmental policy” or “educational policy” or “health policy,” one is discussing a wide collection of separate and sometimes contradictory policies. This is related to the tendency of top-down approaches to assume a relatively clear division between policy enactment, on the one hand, and policy implementation, on the other. Indeed, many of the studies of implementation from a public administration perspective tend to adopt this distinction, which may be analytically useful but runs the risk of assuming that the same pressures that work to shape policy adoption do not exist in policy implementation.

Bottom-Up Approaches to Implementation

In a reaction to the overly structured top-down research approach—in particular, to dissatisfaction with its ability to explain many unsuccessful outcomes, and in reaction to the flaws of top-down policy design—researchers began to view implementation from the perspective of “street-level bureaucrats”(Lipsky, 1971).

Richard Elmore, the key proponent of the bottom-up approach, calls this “backward mapping,” in which the implementation process and the relevant

relationships are mapped backward, from the ultimate implementer to the topmost policy designers (Elmore 1979). This approach is built on a set of assumptions that stand in marked contrast to the implicit assumptions of “forward mapping” or top-down approaches.

Bottom-up approach : is a way of studying policy design and implementation that considers the abilities and motivations of the lowest-level implementers, and tracks policy design from that level to the highest levels of government.

First, the bottom-up approach recognizes that goals are ambiguous rather than explicit and may conflict not only with other goals in the same policy area, but also with the norms and motivations of the street-level bureaucrats. As Rene Torenvlied (1996) notes, “the compliance problem arises when there is a conflict of interest between implementation agencies and politicians.” Top-down models are most concerned with compliance, while bottom-up approaches value understanding how conflict can be alleviated by bargaining and sometimes compromise to maximize the likelihood of achieving the policy goals.

Second, the bottom-up approach does not require that there be a single defined “policy” in the form of a statute or other form. Rather, policy can be thought of as a set of laws, rules, practices, and norms, such as “energy policy” or “criminal procedure,” that shape the ways in which government and interest groups address these problems. Thus, implementation can be viewed as a continuation of the conflicts and compromises that occur throughout the policy process, not just before it begins and at the point of enactment. This makes for a more realistic depiction of the implementation process.

This bottom-up approach has a number of features to commend it. In particular, the bottom-up approach can view implementation as working through a network of actors - much like an issue network or policy community - rather than through some rigidly specified process that fails to account for the richness of the policy-making environment. But there are also important shortcomings to consider in the bottom-up approach.

Finally, the tension between bottom-up and top-down approaches may overstate the extent to which local implementers will resist policies handed down from above. In some cases, the street-level bureaucrat may also want to follow the lead of the top-level designers, supporting the goals

handed down from higher up, and working as best they can to implement national goals.

Bottom-up models of implementation also assume that groups are active participants in the implementation process.

Which approach is appropriate when there are limited resources?

While these approaches to implementation have shortcomings, it is worthwhile to consider how these two approaches to implementation contribute to our knowledge of this essential element of public policy. The top-down approach is much more useful when there is a single, dominant program that is being studied. Sabatier also argues that top-down approaches are appropriate when one has limited resources to “backward map” the implementation of a particular issue. It is considerably easier to look up statutes and other pronouncements issued by top-level policy designers than it is to map all the various interests, agencies, and street-level officials that will carry out a policy.

On the other hand, bottom-up modeling makes sense when there is no single dominant program (such as in a state’s penal code, which consists of many policy statements regarding the nature and severity of crimes) and when one is more interested in the local dynamics of implementation than in the broad sweep of design. It is useful to consider the local factors, from both practical and academic perspectives, since local experience with implementation success or failure can yield important lessons for policy implementers.

Bottom-up approach and thinktanks

A bottom-up approach currently seems to be the most appropriate way to start a think tank for the NRM/SLMP sector. This leads us to think tanks, defined as “non-governmental, not-for-profit research organizations with substantial organizational autonomy from government and from societal interest such as firm, interest group and political parties.

Think tanks are non-governmental institutions; intellectually organisationally and financially autonomous from government, political parties, or organized interests; and set up with the aim of influencing policy. A think tank does justice to the changing policy advice landscape without blurring the boundaries between think tanks and, for example, pressure groups.

Furthermore, think tanks want to change policy through intellectual argument rather than through behind-the-scenes lobbying. They employ a

rhetoric of public spirit and of the 'common good'. Think tanks advocate ideas, develop and maintain policy networks, and provide expertise to policy-makers.

Think tanks inform decision-makers about policy developments from other countries and can thus facilitate policy learning. They develop ideas into products, disseminate them to an 'effective public' (Desai & Dharmapala, 2006) of opinion formers and participate in strategic communication with civil servants, decision-makers, business people, and academics. Think tanks build bridges between different policy field stakeholders not as passive intermediaries but as providers of conceptual discourses for policy-making. Pluralist: think-tanks' support and encourage policy pluralism, broad participation, and involvement of policy actors: citizen empowerment. Think tanks can 'significantly contribute to the quality and transparency of policy-making processes.

Think Tanks seek to provide scientific evidence for policymakers and the wider public and try to influence policy making, Think tanks can be understood as centers' of formation, of irradiation, of dissemination' of ideas. Think tanks publish articles, studies or even draft legislation on particular matters of policy or society. Most scholars agree that policy expertise is the main output of think tanks.

As discussed in the above section, Only eight out of 94 listed think tanks in Sub-Saharan Africa as based in Ethiopia: Ethiopia Policy Studies Institute (PSI), Ethiopia Development Research Center, Ethiopian Economics Association (EEA), Organization for Social Science Research in Eastern and Southern Africa (OSSREA), Institute for Peace and Security Studies (IPSS), United Nations Economic Commission for Africa (UNECA), Environmental Economics Policy Forum for Ethiopia (EEPFE), Institute of Security Studies (ISS), Horn of Africa Economic and Social Policy Institute (HESPI). Four of them (OSSREA, UNECA, ISS, and HESPI) are regional or international organizations.

None of these think tanks exclusively looks at agriculture with the characteristic of think tank groups described in the above section, specifically, non-governmental. Besides, none of them are working. Thus, having a think tank that focuses on agricultural activities would be better.

5.6. Synthesis: The Third Generation of Implementation

Because of the relative strengths and weaknesses of the top-down and bottom-up approaches, researchers have sought to combine the benefits

of these approaches into one model or synthesis that can address the structuring of policy from the top as well as the likelihood of its subversion or at least its alteration at the point of implementation.

Richard Elmore has sought to combine his idea of “backward mapping” with a “forward mapping element” (Elmore, 1985). By looking both forward and backward, we can understand that top policymakers can make choices of policy instruments or tools to structure implementation while realizing that the motivations and needs of lower-level implementers must be considered.

Refining and reconciling the top-down and bottom-up approaches, Goggin and his colleagues have devised a theory of policy implementation that relies on the sending of messages between policy makers and implementers (Lester & Goggin, 1998). This study considers an important feature of most policy design: that implementation is as much a matter of negotiation and communication as it is a matter of command. Even commands are sometimes resisted because they are unclear or inconsistent with the receiver’s expectations. Goggin and his colleagues sum up their argument in two key propositions:

- Clear messages sent by credible officials and received by receptive implementers who have or are given sufficient resources and who implement policies supported by affected groups lead to implementation success.
- Strategic delay on the part of states, while delaying the implementation of policies, can actually lead to improved implementation of policies through innovation, policy learning, bargaining, and the like.

The first of these propositions is a short summary of what has been learned thus far in the study of implementation analysis.

In actual experience, messages are often unclear, officials often lack credibility, and implementers are often not receptive or, if they are, do not receive sufficient resources or are opposed by the affected groups.

The second proposition counters some of the gloom that had sealed around many policy implementation studies. Goggin and his colleagues found, in certain policy areas, which states that “strategically delayed” implementation - in order to seek clarification of a policy, raise more funds, ensure support of affected groups, and so on - often had better success in implementing a policy than did states that immediately implemented a policy. It seems that it would behoove the analyst to take a longer-term approach to policy studies. What may at first blush look like delay on the

part of a state or local government may, in fact, be a period of strategic positioning and adaptation of a policy that actually improves the quality of the service being delivered under the policy, as well as enhancing the likelihood of any implementation.

5.7. Policy Failure and Learning from It

For some reason, both journalists and policy scientists like bad news: Journalists will report when the government has lost a lot of money but will ignore evidence of those instances when the government has saved money through some sort of innovation. At the same time, most books on policy implementation describe policy failures.

Scholars argue that, “success and failure are slippery concepts, often highly subjective and reflective of an individual’s goals, perception of need, and perhaps even psychological disposition toward life”(Ingram & Mann, 1980). In other words, failure is perhaps in the eye of the beholder. And the beholder’s vision is affected by his or her immediate perception of the policy in question, Labor and management are likely to have very different perspectives on the necessity of the minimum wage. One person may argue that a policy has failed, while another might look at it as a tentative first step toward a larger goal, such as some health programs for the poor and elderly: Medicare and Medicaid can be viewed as the first step toward more universal health services. Other reasons for policy failure are listed in the following Table 5, which summarizes Ingram and Mann’s argument.

Table 5 : An Explanation for Policy Failure Adopted from (Birkland, 2019)

Alternative to policies	Failure needs to be assessed in terms of the option to let the present trend continue and in terms of the likelihood that the other option would have been more or less successful.
The impact of changing Circumstances	Changing circumstances render policies less successful.
Relationship of one policy to another	Policies are interrelated, and these relationships must be taken into account.
Excessive policy demand	We may expect too much from policies.
The boundary Question	Political boundaries will influence policy success.

Realizable policy expectations	Policies sometimes fail when they go beyond what we know we can achieve now.
Accurate theory of causation	Policy will fail if it is not based on sound causal theory.
Choice of effective policy tools	The choice of ineffective tools will likely yield failure. But the choice of tools is often a function of compromise or ideological predisposition.
The vagaries of implementation	The problems inherent in policy implementation can contribute to policy failure
Failure of political institutions	Policy failure is simply a symptom of more profound ailments within our political institutions,” such as the breakdown of political party power, devolution of power from congressional leaders to the committees and subcommittees.

5.8. Section Summary

This section provides details about policy implementation and failure. The section provides major points about three types of implementations: top-down, bottom-up, and third-generation approaches. Besides, the characteristics of two implementations approaches (i.e., top-down approaches and bottom - up approaches) are presented. Both approaches to have strengths and weaknesses, which are presented in detail in this section. Based on the strength and weaknesses and assessing the characteristics of both implementations, the writers of this module argued that bottom-up implementation approaches are more appropriate for think tank groups. Besides, it is also appropriate to start from the grass-root level. Concerning Natural Resources Management and Sustainable Land management, it would be better to start activities from the grassroots level, which is why the bottom-up approach is considered as the best approach to use a think tank group.

Questions for Understanding

1. What are the main characteristics of top-down models of policy implementation?
2. List several problems with top-down model.
3. Do bottom-up approaches address these problems?
4. Do bottom-up models have their own shortcomings? What are they?

- On balance, which model do you think would best aid someone who is attempting to design a policy?

Checklist

Issues covered	Yes	No	Not Sure
I can define Policy implementation.			
I explain what the top-down approach means			
I can describe the bottom-up approach			
I can elaborate on third generation approach			

6. Section six: Legal Provisions on Policies, Strategies and Guidelines in Ethiopia

Mode of Delivery

This section employs interactive discussions and group activities as its mode of delivery. The trainer starts the session with introduction of the topic and presents brainstorming questions to illicit ideas and to open up discussion among the participants. S/he then presents the lesson encouraging a two-way interactive communication with the participants. The trainer need to use flip-charts to maximize visualization and to engage trainees in group activities and oral presentations. We recommend energizers in between, involving the trainers as providers whenever possible. The trainer could maximize opportunities for the participants to make the most out of the session if s/he encourages them to complete the checklist/reflection table before winding up the session.

Key terms

- Policy
- Strategy
- Guideline
- Constitution

Section Overview

The following section provides responsible bodies working on designing policies, strategies and guidelines in Ethiopia. Furthermore, the researcher noted from the finding that, different sectors use one policy; for instance, Rural Development Policy and strategies are used by various sectors.

Section objectives

At the end of this section, you will be able to

- List articles linked with policy, strategies, and guidelines.
- Describe the responsible people to design policy.

6.1. A responsible government structure that can formulate policies in Ethiopia.

Dear trainees, before reading the next text of this section, take a pen and paper. And write the answer for each of the following questions. Then read the text and compare your answer with what is in the text.

Could you please list PSGs concerning climate Sensitive Innovation for Land management ?

Could you list articles that describe the responsibilities of our government structure concerning PSGs?

Could you list a responsible government structure that can formulate policies in Ethiopia?

The supreme law of the land in Ethiopia is the Constitution. Proclamation No 1./1995, has several articles describing the responsibilities of the governmental structures that are responsible for designing policies, strategies, and guidelines (FDRE, 1994).

6.2. Article 51

- **Article 51:** Powers and Functions of the Federal Government
 - The Federal Government shall formulate and implement the country's policies, strategies, and plans in respect of overall economic, social, and development matter.

6.3. Article 76

- **Article 76:** The Council of Ministers
 - The Council of Ministers comprises the Prime Minister, the Deputy Prime Minister, Ministers, and other members as may be determined by law.
 - It shall formulate and implement economic, social, and development policies and strategies.

6.4. Article 55

- **Article 55:** Powers and Functions of the House of Peoples' Representatives
 - The House of Peoples' Representatives shall approve general policies and strategies of economic, social, developmental, fiscal and monetary policy of the country.

6.5. Article 52

- **Article 52:** Powers and Functions of States Article 52, 2, C

According to Article 52, 2, C States formulate and execute economic, social, and development policies, strategies, and plans of the State.

Table 6 : Policies, Strategies, and Guidelines Linked with NRM and SLM in Ethiopia

Rural Development Policy and Strategies	2003
Rural Development Policy and Strategies	2003
Environmental Policy of Ethiopia	1997
Ethiopia's Agricultural Sector Policy and Investment Framework (PIF)	2010

Rural Development Policy and Strategies	2003
Agricultural Extension Strategy of Ethiopia	2017
Food Security Strategy	2002
Community-based Participatory Watershed Development Guidelines	2005
Community-based Participatory Watershed and Rangeland Development: A Guidelines	2020

6.6. Section Summary

This section provided political structures of Ethiopia that give right and responsibilities to political and government officials concerning policies, strategies and guidelines within Ethiopia. This section reminded you of a number of articles that states the right and the responsibility of various governmental structure concerning policy-making and implementation. The constitution is one of the important political structures or supreme law of the land and it provides detail about articles concerning various issues within in the country. Articles that talk about policies, strategies, and guidelines include article 51, article 76, article 55 and article 52. Moreover, polices that are linked with Natural resources management are presented in the table.

Checklist

Issues covered	Yes	No	Not Sure
I can enumerate articles that are related with policy making			
I explain what the articles provided as responsibilities			
I can explain the role of Federal government in policy making			
I can explain the role of regional government in policy making			

7. Section Seven: Tips on How to Write a Policy Brief

Mode of Delivery

This section employs a brief interactive lecture and group discussion. The trainer starts the session with introduction of the topic and presents brainstorming questions to illicit ideas and to open up discussion among the participants. S/he then presents the lesson encouraging a two-way interactive communication with the participants. S/he then introduces sample Policy Briefs to the participants. We recommend energizers in between, involving the trainers as providers whenever possible. The trainer need to group the participants having a sizeable number (Maximum four participants) to review sample Policy Briefs. Participants could maximize the opportunity to gain from the training if they are given Policy Brief Writing assignment. The trainer could maximize opportunities for the participants to make the most out of the session if s/he encourages them to complete the checklist/reflection table before winding up the session.

Key Terms

- Policy Brief
- Advocacy brief
- Objective brief

Questions to start With

1. Are you familiar with policy briefs?

2. Have you been involved in any policy brief writing undertaking?

7.1. What is a Policy Brief?

- Policy briefs are key tools to present research and recommendations to a non-specialized audience.
- They serve as a vehicle for providing evidence-based policy advice to help readers make informed decisions.
- A good policy brief distills research findings in plain language and draws clear links to policy initiatives.
- There are two basic types of policy briefs:
 - An advocacy brief argues in favour of a particular course of action.
 - An objective brief gives balanced information for the policy-maker to make up his or her mind.
- There are three important elements to be considered in developing a good policy brief. These are: purpose, audience, content, and structure. Let us discuss each of these briefly.

Purpose

- The purpose of a policy brief is to inform readers of a particular issue, suggest possible policy options, and make recommendations.
- Hence, Policy Briefs take a straightforward approach where you need to explicitly state your purpose at the outset
- In writing PBs, you need to maintain a lesser focus on your direction, and link every paragraph back to your purpose.
- Most PBs are concise and have no space to discuss tangential information.
- To be convincing, PBs need to be focused with every paragraph linked with the purpose.
- PBs should discuss the urgency of the issue and focused on the benefits/advantages of the cause they advance.

Tips

- Write out your purpose before drafting a brief, refer to it often, and ensure that everything you write serves that purpose.

- The intention of policy briefs is to offer your readers advice on how to solve a specific problem, so stay focused on this target alone.

Audience

- PBs need to be written with the prospective readers in mind
- Make sure that the issue at hand is of interest to them, to the level of their knowledge, and information they need to make decision.

Content

- Make it clear, succinct, and focus on a single topic.
- Define the purpose of your policy brief up front.
- Identify the salient points that support your goal.
- Write for your specific purpose instead of summarizing or cutting down an existing report

Structure

- The structure should lead the reader from problem to solution.
- Have a clear structure before you start writing and use section headings to guide your content.
- Be clear about your policy recommendations and how they are supported by evidence.

Policy brief template

- There is no prescriptive, one-size-fits-all approach

Major elements contained in a PB include:

7.2. Executive summary

- Should be engaging and help busy readers quickly understand your argument.
- Most summaries take the form of a short paragraph or two, but some authors prefer to structure theirs as a few bullet points.
- Should condense the essence of the brief down to a few sentences.

7.3. Introduction

- Should set up the rest of the document and clearly convey your argument.
- In one or two paragraphs, define why you are writing the brief and express the urgency and importance of the topic to your audience.
- Should contain all of the relevant information for your argument.
- Describe the key questions of your analysis and your conclusions.

7.4. Research overview

- It explains the reasoning behind your policy recommendations.
- In effect, this section describes the problem that your policy recommendations intend to solve.
- Focus on two main elements: the research approach and the research results.
- Research approach: explain how the study was conducted, who conducted it, how the data was collected, and any other relevant background information.
- Research results: paint a general picture of the research findings before moving on to the specifics.
- Avoid jargon and overly technical language.
- Focus on highlighting the benefits and opportunities stemming from the research.

7.5. Discussion/Analysis of Research Findings

- Should interpret the data in a way that is accessible and clearly connected to your policy advice.
- Express ideas using active language and strong assertions.
- The goal is to be convincing, but ensure that your analysis is balanced and defensible.
- Explain the findings and limitations of the research clearly and comprehensively.

- Express research findings in terms of how they relate to concrete realities (instead of theoretical abstractions). So, the reader will have a clear idea of the potential effects of policy initiatives.

7.6. Conclusion or recommendations

- Draw the link for your readers between the research findings and your recommendations.
- Use persuasive language to present your recommendations, but ensure that all arguments are rooted firmly and clearly in evidence produced by the research.
- Examine the implications and the recommendations produced by the research.
- Implications are the effects that the research could have in the future. They are a soft but persuasive approach to describe the potential consequences of particular policies.
- Follow up the implications with your recommendations.
 - Beyond being descriptive, your recommendations should act as a call to action by stating precise, relevant, credible, and feasible next steps.

Tips

- Think of the conclusion as a mirror to your introduction: you are once again providing an overview of your argument, but this time you are underlining its strength rather than introducing it.

7.7. Activity

1. Review the following two Policy Briefs focused on natural resource management and critique their strengths and weaknesses.
 - <https://www.fao.org/3/cc2752en/cc2752en.pdf> (FAO. 2022. How natural management resource sectors can contribute to reducing emerging infectious diseases: the example of forest ecosystems – Policy brief. Rome. <https://doi.org/10.4060/cc2752en>)
 - <https://documents1.worldbank.org/curated/en/888621519766272117/pdf/123739-BRI-CBNRM-policy-brief-Eng-grn.pdf> (Aquino, Andre, Fonseca, João and Mwehe, Robert (2016) Community Based Natural Resource Management:

7.8. Section Wrap up

Dear Trainees,

In this section we introduced you to policy briefs. We indicated the two major types of policy brief. Each type has its own purpose. We also addressed standard template policy briefs make use of. We hope you enjoyed the section and now it is time to stop and reflect on the level of confidence that you comprehend the issues we covered. Use the checklist below. Should you feel referring to or reading again any section we covered before, we encourage you to do so. Thank you!

Checklist

Issues covered	Yes	No	Not Sure
I have understood the purpose of policy briefs			
I can differentiate between the two major types of policy briefs			
I recognize the major elements a standard policy brief constitutes			
I can draft a policy brief in my area of expertise			

7.9. References

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