



Basics in Policy Analysis

How Governments Should Design & Implement Policies



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By

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for the

FOOD AND AGRICULTURE ORGANIZATION OF THE UNITED NATIONS, FAO



Related resources:

See the Training Path [Policy Learning Programme 2009](#) for other related resources. Download the [Programme Summary](#) for background information and the [Overview of the Programme Modules and Sessions](#) for a complete list of resources developed for the Policy Learning Programme 2009. FAO Policy Learning Website: <http://www.fao.org/tc/tca/policy-learning/en/>

About EASYPol

The EASYPol home page is available at: www.fao.org/easypol

EASYPol is a multilingual repository of freely downloadable resources for policy making in agriculture, rural development and food security. The resources are the results of research and field work by policy experts at FAO. The site is maintained by FAO's Policy Assistance Support Service, Policy and Programme Development Support Division, FAO.



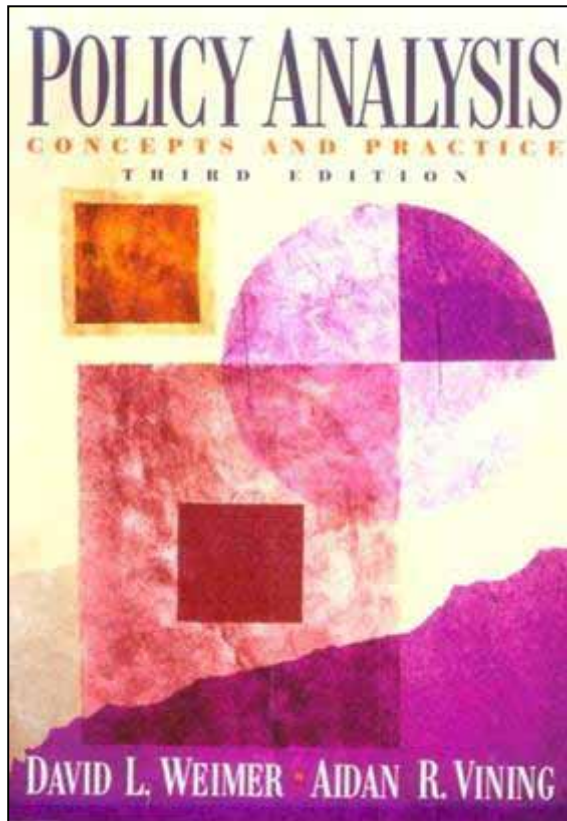
Objectives

After this presentation, you should:

- understand policy analysis
- appreciate the relevance of policy analysis
- know the critical elements to conduct sound policy analysis (and design / implement sound policies)

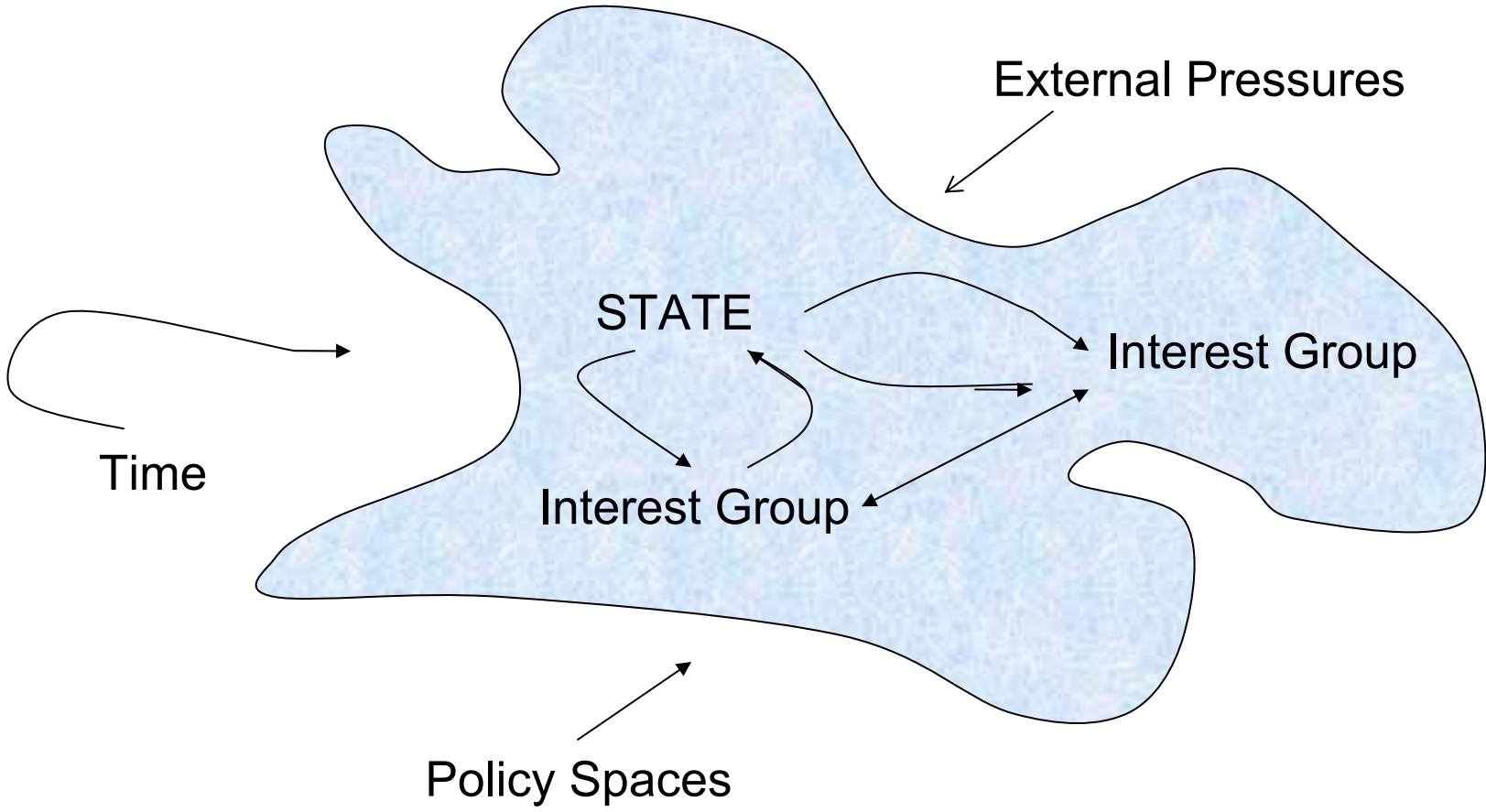


Outline

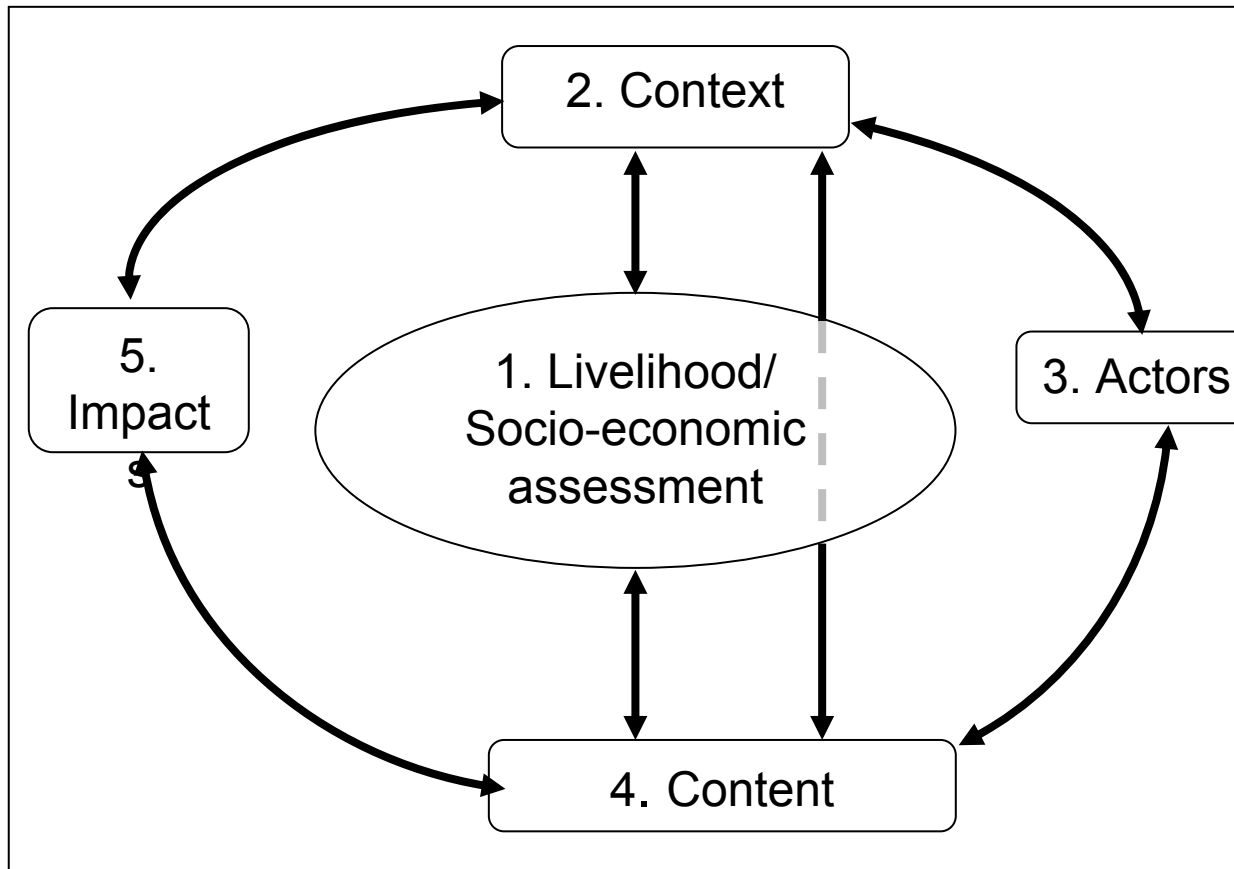


1. Policy analysis and policy process
2. Definition of policy analysis
3. Steps in policy analysis
 - Identification of policy objectives
 - Identification / selection of policy instruments
 - Design policy implementation
 - Policy monitoring & evaluation

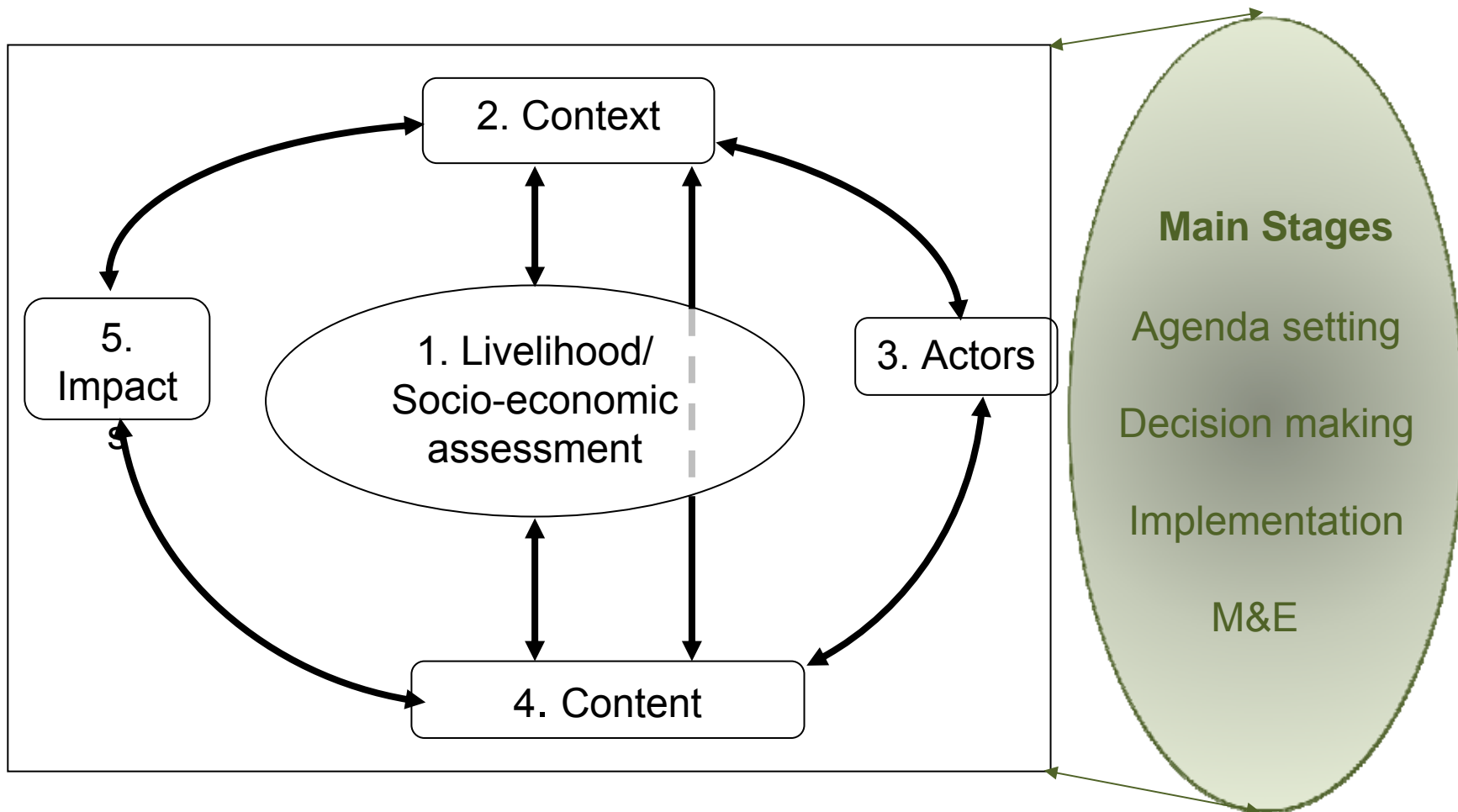
The policy process



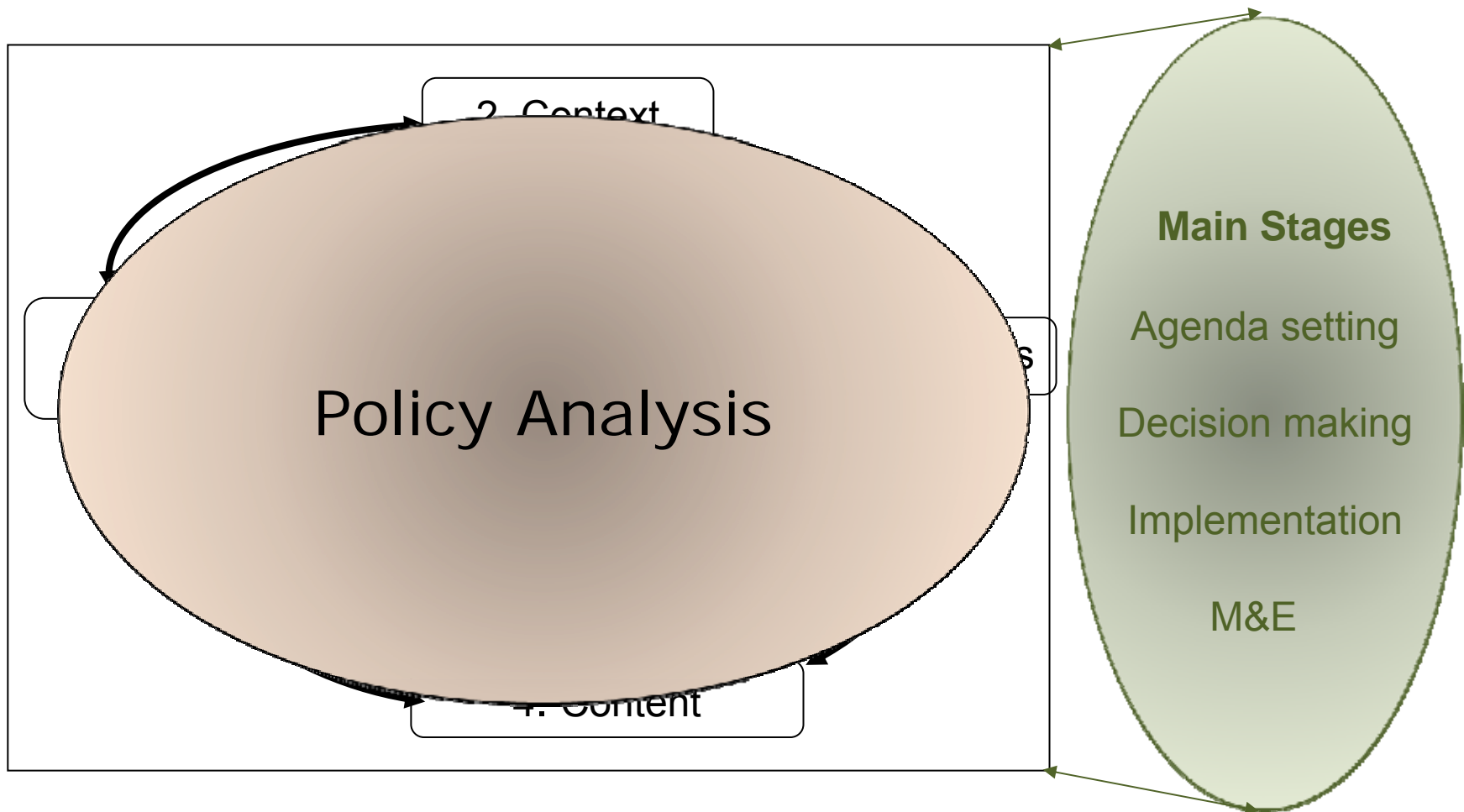
Elements of policy process



Elements of policy process



Elements of policy process



Definition of policy analysis

Policy analysis:

- is an applied social **science** producing **information** for addressing **policy problems**
- analyses and evaluates public policy options ... **for choice by policy makers** (Paul, 1989 et al.).



Policy analysis versus other sciences

Policy analysis is not:

Academic research

Economics

Sociology

Statistics

... ..

Political science

Interest groups

Collective actions

Advocacy coalitions

... ..



Policy analysis versus other sciences

Policy analysis is not:

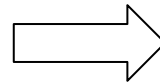
Academic research

Economics

Sociology

Statistics

... ..



Policy analysis makes ample use of academic research

Political science

Interest groups

Collective actions

Advocacy coalitions

... ..



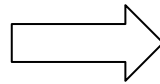
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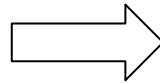


Policy analysis makes ample use of academic research

Political science

Interest groups
Collective actions
Advocacy coalitions

... ..



Policy analysis takes into consideration different interests, positions, etc.



Steps in policy analysis



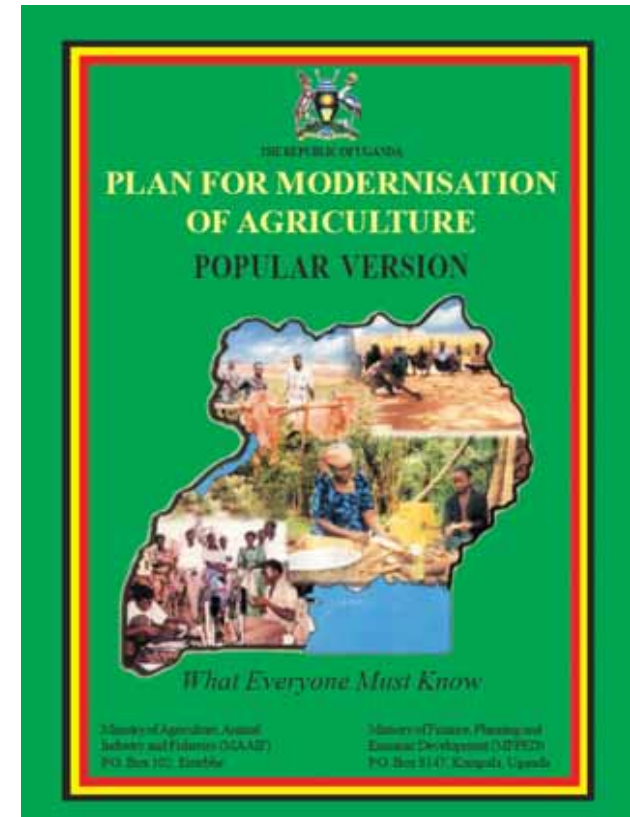
Steps in policy analysis



1. Identification of policy objectives

- Policy agendas present generic policy goals / undesirable status quo (policy problem)
 - poverty reduction
 - increased productivity
 -

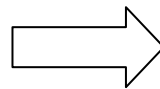
- Identify a causal chain explaining the status quo
 - brainstorming
 - narratives
 - scientific analysis
 - problem tree... ..



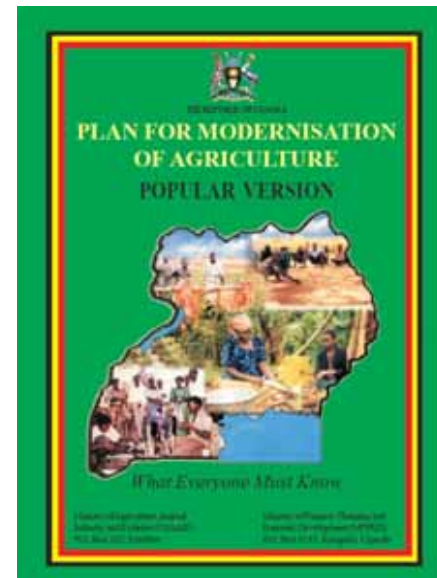
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The 'source' of the problem should be selected as the 'policy objective'



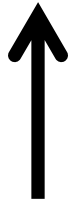
1. Identification of policy objectives

effects

... ..

- household income

- exports



+ animal mortality

- productivity

... ..

'policy problem'

Foot & Mouth Disease Outbreak



causes

direct contacts between animals

contaminated animal feed

artificial insemination

... ..



Policy objective

Example:
Problem tree analysis of Foot & Mouth Disease Outbreak



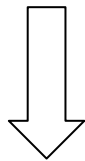
Steps in policy analysis



2. Identifying policy instruments

Identification of alternative policy instruments serving the policy objective(s)

- ▶ experiences from other countries
- ▶ public/expert opinion polls
- ▶ professional / academic journals
- ▶ ad hoc research findings
- ▶



No defined rules to identify policy instruments!!!



Credit: FAO



2. Identifying policy instruments



Hints for identifying policy instruments:

- ▶ existing instruments included
- ▶ no 'do everything' instrument
- ▶ role of the State well identified
- ▶ small numbers to facilitate
- ▶ selection

Credit: FAO

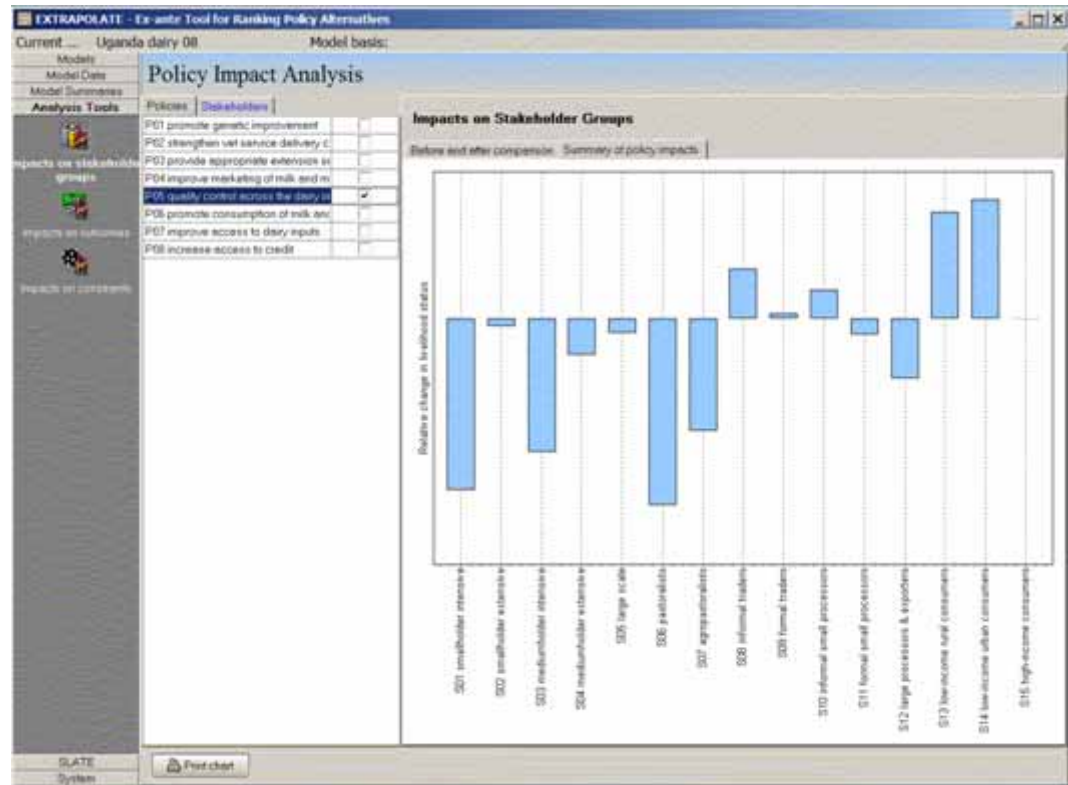


2. Ranking policy instruments

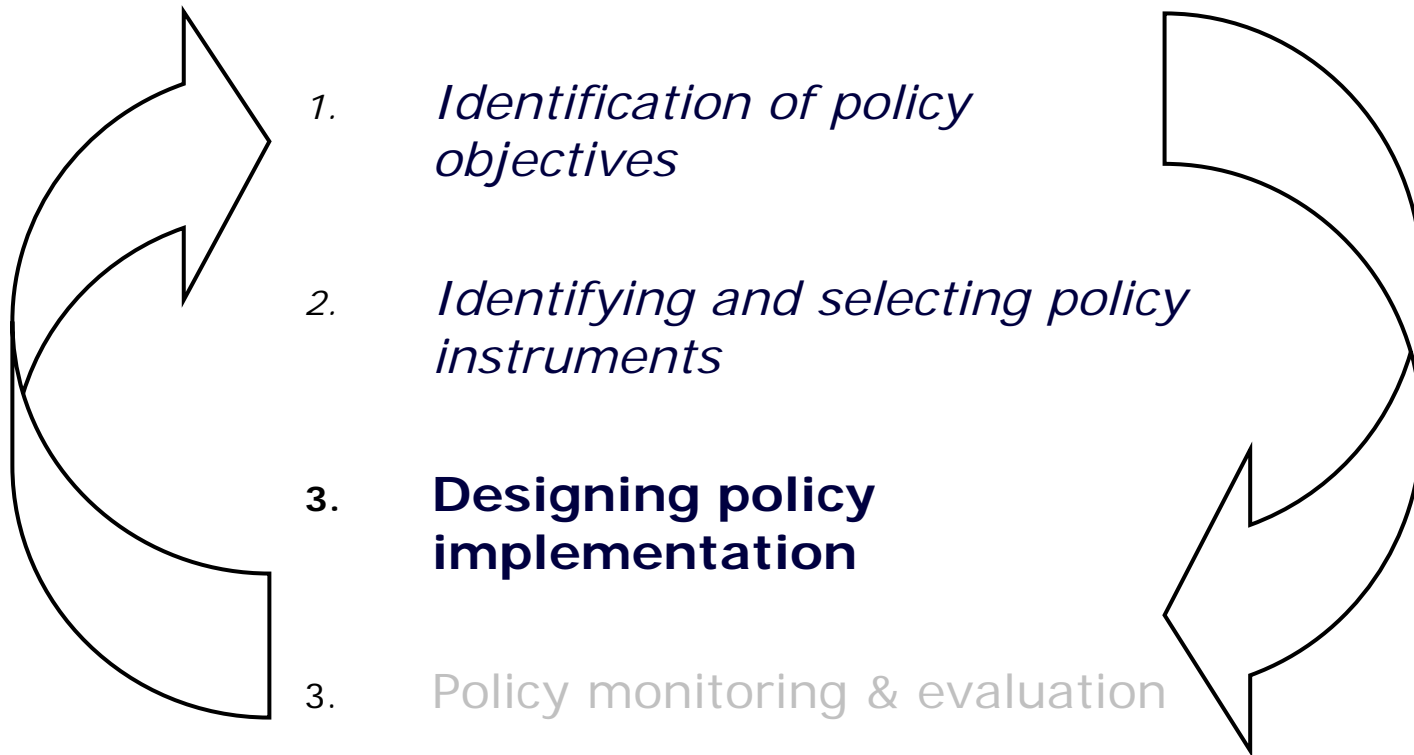
Hints for selecting best policy instrument

- ▶ merit
- ▶ cost
- ▶ equity
- ▶ reliability
- ▶ simplicity
- ▶ consistency
- ▶ flexibility
- ▶ communicability
- ▶

EXTRAPOLATE: Ex-Ante Tool for Ranking Policy Alternatives



Steps in policy analysis



3. Policy Implementation



credit: Afp

Kenya, drought affected areas – 01 / 2006

'Policy reform failures [...] lack of consideration of how the policy reform is organized' (Crosby, 1996)



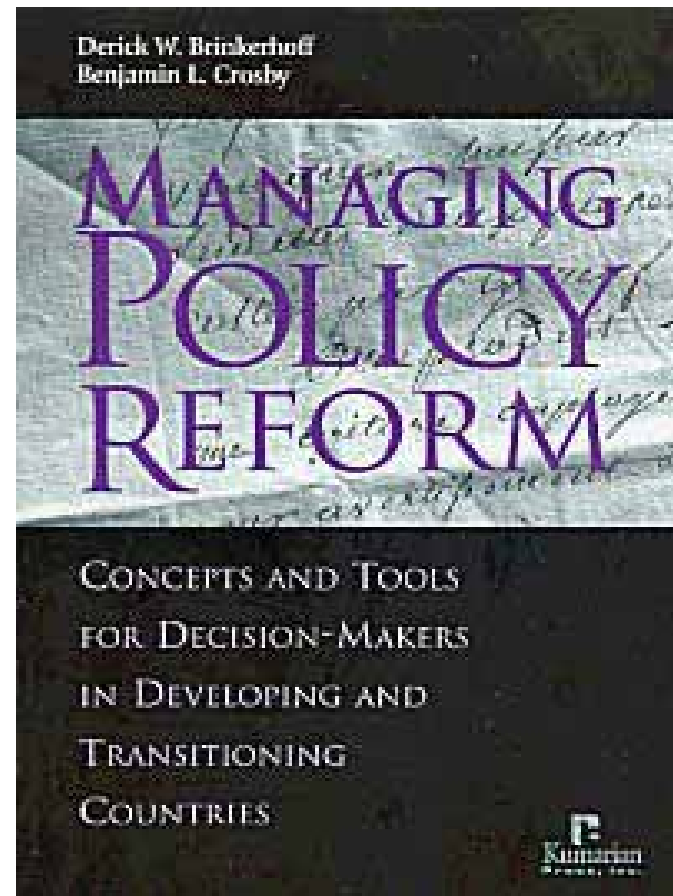
source: WHO

'Policy implementation brings together multiple agencies and groups that are intended to work in concert' (Brinkerhoff, 1996)



3. Policy implementation tasks

1. Policy legitimisation
2. Resources
3. Institutional design
4. Monitoring & evaluation

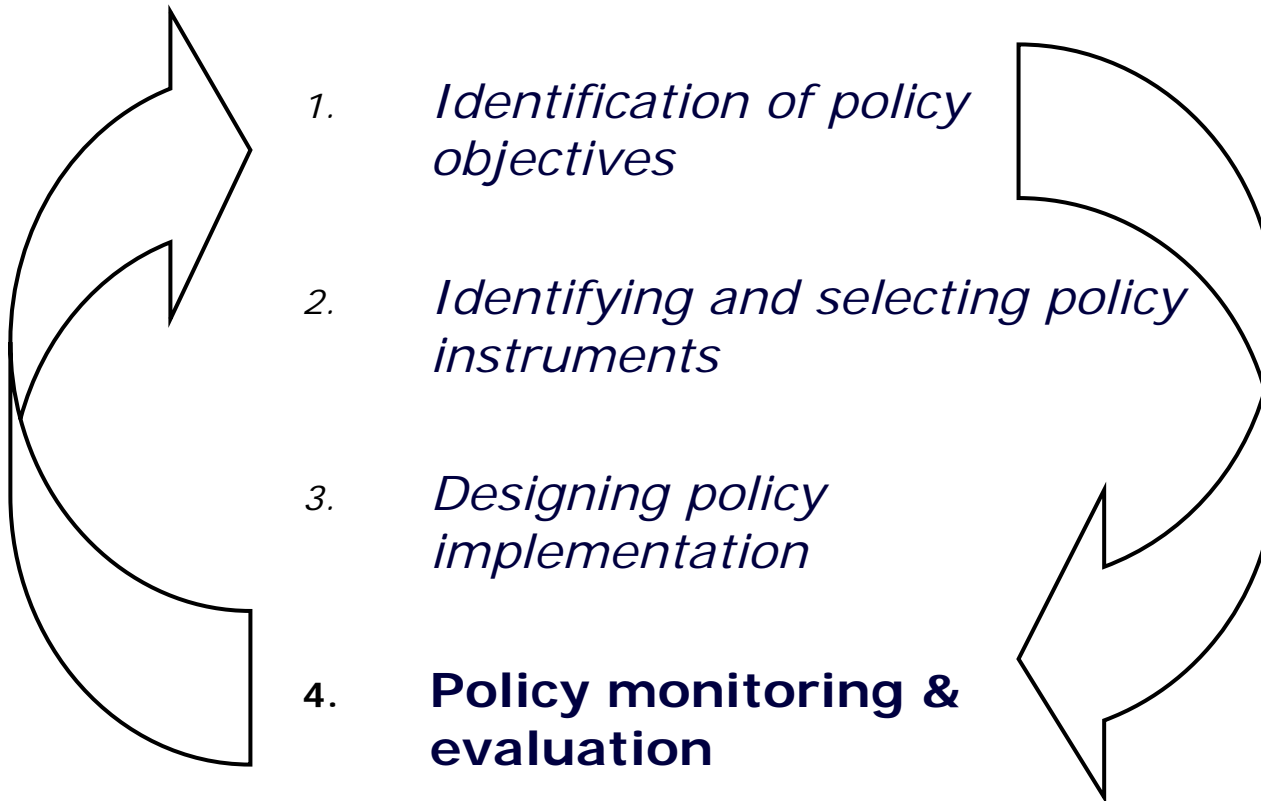


3. Policy implementation tasks

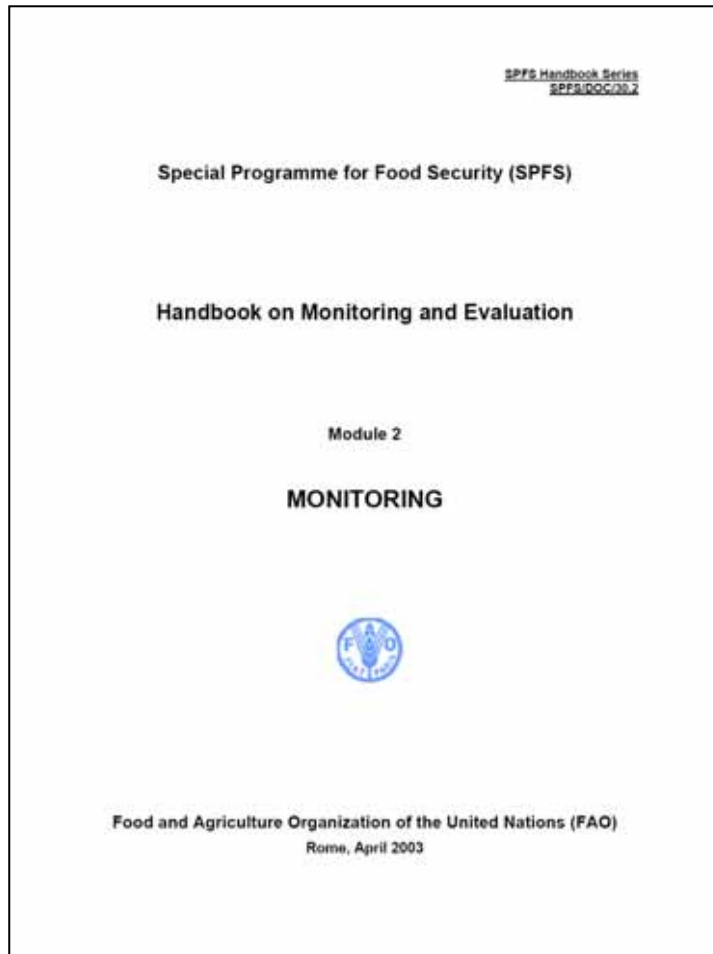
- | | | |
|---------------------------------------|---|---|
| 1. Policy legitimisation | ⇒ | Stakeholder analysis & political mapping to create a policy constituency |
| 2. Resources | ⇒ | Securing start-up & medium / long term funds |
| 3. Institutional design | ⇒ | Accountability & incentives / penalties to 'policy implementers' to carry out new tasks |
| 4. <i>Monitoring & evaluation</i> | ⇒ | <i>Keep policy implementation on track & assess policy results & impacts</i> |



Steps in policy analysis



4. Policy monitoring & evaluation



Monitoring: ... collection of data providing indications of [...] progress in the use of **inputs** and achievement of **outputs**




4. Policy monitoring & evaluation



Evaluation: ... assessment of an ongoing [...] policy, its design, implementation and effects and impacts



4. Policy monitoring & evaluation

	Indicator	Definition
Time  Monitoring Evaluation	Inputs	Resources allocated
	Outputs	Immediate results brought about by inputs
	Effects	Direct and medium term effects
	Impacts	Long-term impacts

4. Policy monitoring & evaluation

Methodologies:

- ▶ performance indicators
- ▶ logical-framework approach
- ▶ interviews
- ▶ international benchmarking
- ▶ cost-benefit analysis
- ▶ pilot policy projects

Hints:

- ▶ evaluators ≠ implementers
- ▶ participatory M&E
- ▶ new rules & regulations
- ▶ rewards / penalties



credit: AC

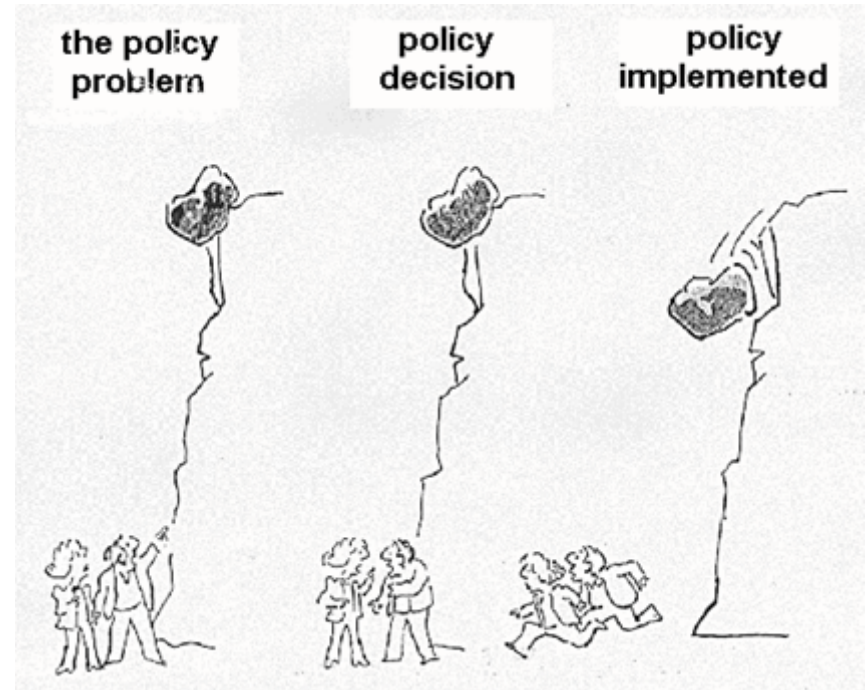


credit: FAO



Summary

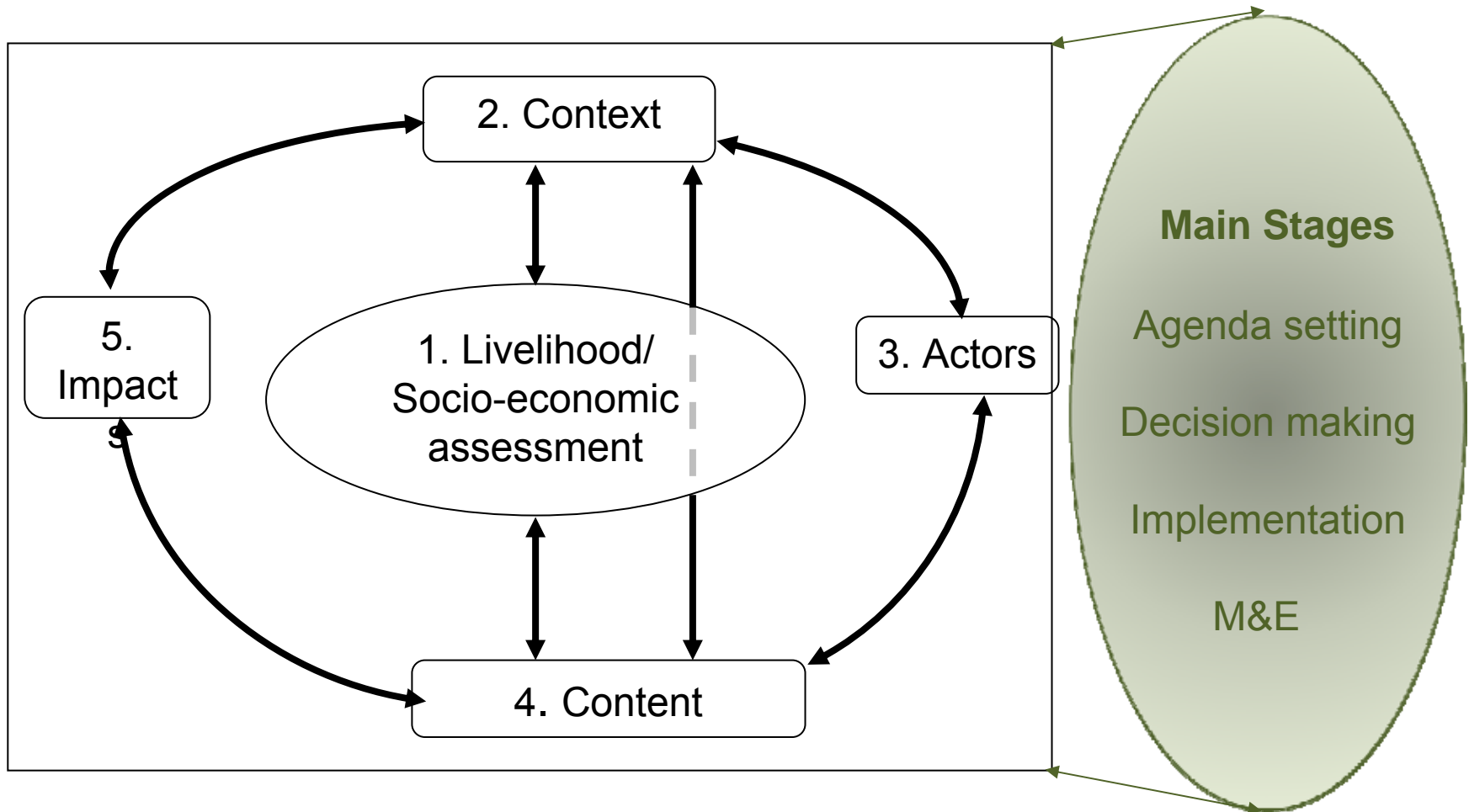
1. identification of policy objectives
2. identification / selection of policy instruments
3. designing policy implementation
4. monitoring & evaluation



Policy analysis is a science providing information to address policy problems



Conclusions



Further readings

- Brinkerhoff D.W., Crosby B.K. (2002). *Managing Policy Reform. Concepts and Tools for Decision-Makers in Developing and Transition Countries*. Kumarian Press, Bloomfield.
- Weimer D.L., Vining A.R. 1991. *Policy Analysis: Concepts and Practice*. Prentice Hall, London.
- Binswanger H., Deininger K. 1997. Explaining Agricultural and Agrarian Policies in Developing Countries. *Journal of Economic Literature*, Vol. XXXV, pp. 1958-2005.

