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LECTURES ON PUBLIC POLICY

Rosenfeld, Raymond A.

Lectures on Public Policy. — Kyiv: K.I.S. Publishers, 2003. — 54 pp.

This book is compiled from a lecture course delivered by Raymond A. Rosenfeld in 1996 to Master of Public Administration students at the Ukrainian Academy of Public Administration in Kyiv. In addition to the original lecture materials, it provides a glossary of terms.

This is a guide to public policy studies, and will be useful for students of political science.

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FOREWORD

Public policy is a new field in Ukraine. A number of years ago no one heard the words. Raymond Rosenfeld was a pioneer of the introduction of this discipline in our country. This book is his course of lectures. It is particularly useful for students of political science. Public policy grew out of political science and found its own wings, it now has very sophisticated methodologies, regressions, much mathematics. But this book is useful because it shows us how the discipline began. And ultimately, behind very sophisticated methodologies there is something called the art of judgement. This is a good guide to this most important of topics.

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SESSION I
INTRODUCTION TO PUBLIC POLICY

Approaches to Public Policy

The systematic study of public policy as a separate field of inquiry or as a subfield of political science is a relatively recent phenomenon. Barely 30 years ago there was only a small handful of books in this emerging field, and there were no academic journals that focused exclusively on this area. This seems surprising today, as the study of public policy appears to be central to the study and operation of government.

Today, there are at least two approaches to the study of public policy, which I will discuss in this series of lectures. First, is the study of the *process of decision making*. Here we will be concerned with **how a problem of society leads to the creation of a government or a non-government organization (NGO) program that attempts to resolve this problem.** We will look at the interaction among citizens, NGOs, policy experts, government administrators, and elected officials, which is necessary in a democracy for successful policy making. In addition, the implementation of policy will be examined. Public policies that are not carried out carefully will not have the intended consequences, so we know today that we must look closely at the issues relating to program implementation which in fact involve the same groups that were central to the original policy making.

The second approach to the study of public policy which we will examine is the study of the *substance of public policy* — problems, solutions, and evaluations to determine what actions should be taken by government and if government actions are successful or not. In this area we will talk about the various methodologies for studying the substance or content of public policy.

Process of Decision Making

Most observers of government anywhere (both east and west) have noted that decision making is incredibly difficult. The reality is that many citizens do not see government solving problems that they consider important. Most often it is because those who govern do not have the political will to act. There are many conditions of any society that might be worthy of government action, yet it is impossible for government to do everything. Presidents, parliaments and local councils may not have the *time* to explore all of the potential issues that exist. Also, they may not have the *funds* or *manpower* to develop or operate new programs. But most importantly, they may not have the sense that the *community is prepared* to try to solve a problem with a specific program. There may be disagreement as to whether it is appropriately within the government's jurisdiction, whether the problem is a priority, or whether there exists solutions, which are acceptable to the public. In the absence of agreement on these points, it may be easier or more appropriate not to act at all.

Case Study

Lets look briefly at one policy example in the west and another in Ukraine.

Case Study: America

In many American cities such as New York and Los Angeles, automobile traffic in the morning and evening as workers commute from their homes to their places of work is extremely heavy. Highways hold bumper-to-bumper traffic of automobiles mostly with a single person in each. Drivers sit or crawl slowly on highways designed for rapid movement. A drive that should take no more than 15-30 minutes may take between 30 and 90 minutes. This is a waste of people's time, a loss of productivity, a waste of gasoline, and a source of dangerous air pollution. No one likes this condition.

So why have the city, state, and national government not acted to alleviate this problem?

Many programs have been adopted by national, state, and local governments to try to alleviate commuting problems. New highways have been built, more bus service has been added, and in some cases rapid transit (metro) systems have been constructed. Yet the problem persists. Why don't government officials do more? With problems of providing adequate health care and controlling its cost, of reforming America's social welfare or education systems, or of making the streets of American cities free of illegal drugs and of other forms of crime, perhaps elected officials do not have the *time* or *staff* to look further at traffic issues. But this is also a time in America where there are substantial pressures to reduce government budgets, so perhaps they know that they do not have the *funds* to carry out new solutions to traffic problems. Most important is the challenge of finding a consensus on what solutions might be acceptable. If all interested parties were brought together, there would exist some support for many different ideas ranging from encouraging Americans to live closer to where they work by subsidizing multi-family dense housing to building new highways, new metro systems, or new bus lines. Many different solutions are possible. Each has its own supporters and detractors, for each solution affects groups of citizens differently. Consider the interests of landowners in the suburbs, the automobile industry, the bus construction industry, the cement and highway construction industry, the oil industry, and groups that are concerned about air pollution. Each of these groups is impacted differently by various solutions. Also look at public opinion. Do those individuals who sit on the highways consider these solutions acceptable? Is this problem a top priority to them? Are they willing to change their driving and commuting habits?

So, while the traffic problem is real and has a significant negative impact on individuals and the economy, elected officials (decision makers) realize that the political will among the public for

solutions, which will dramatically alleviate the problem, does not exist. And if it does not exist among the public, usually it will not exist among the elected officials for it is their job in a democracy to reflect the will or desire of the citizens.

Case Study: Ukraine

I am not an expert on Ukrainian government policy making, so I am hesitant to try to present you with a local public policy problem. I could attempt to speak to the most important problems you face such as that of privatising your large industries, keeping inflation under control, finding meaningful work for the large numbers who have been displaced during this time of transition, or raising the overall gross domestic product of the country. But, because I am a foreigner and am not an expert on Ukrainian affairs, I will limit my comments to something that in relationship to these big problems is minor.

You are aware of the dismal condition of public spaces in your apartment buildings. The entrances, hallways, stairs, and elevators are a disgrace. The doors and windows are broken, the lights do not work, the walls are in need of paint, and the floors are rarely cleaned. So why don't the government authorities with responsibility for housing develop some solutions to these deplorable conditions? I assume that in the current state of transition in Ukraine, elected officials do not have the time to explore this issue, do not have the funds to make the necessary repairs and increase maintenance, and that given all of the "large" problems that you face, this is of little significance to the people of Ukraine. In addition, given the privatisation of housing that is rapidly taking place, there is probably some confusion as to under whose responsibility this condition falls. The result, of course, is that little is happening to alleviate this condition that is so noticeable to those of us from the west.

Case Conclusions

A conclusion from these case examples is that there are many problems that government officials may address, but they cannot address them all. The problems that they do address in a democracy should be the ones for which there is the greatest political will among the citizens, and it is the challenge of all in government to try to uncover and understand this will. It is not simple, for the public does not always have the same interests or preferences. Oftentimes it makes the most sense for government to not act until there is greater consensus. As a civil servant you may have great knowledge of the problems that fall under your jurisdiction or responsibility as well as the appropriate solutions. One of the challenges of the study of public policy process is for you to think clearly about what actions you can take to help build such a consensus, develop realistic policy alternatives, and to effectively carry out any programs.

There is one other area in the process of decision making that should not be overlooked. That is the careful exploration of the problems of *implementing* or carrying out public policy decisions. Few public policy decisions are self-enforcing. Rather, acts of legislative bodies or presidents require an administrative structure for their implementation. That, of course, is where public administration enters the picture once again, for it is the job of civil servants to carry out the law of the land. Yet, it is not unusual for problem0.06help bui2 Tf 65 /t

Substance of Public Policy

The study of the substance of public policy requires that we consider three different areas: (1) the *problems* of society, (2) *solutions* to alleviate or reduce the problems, and (3) *evaluations to find out if solutions work.*

The problems of society must be examined carefully or else our government programs and solutions are doomed to failure. If we do not accurately diagnose problems, how can we possibly expect to succeed in government? Life expectancy in Ukraine is declining. That is a problem. But is it due to Chernobyl, to alcohol consumption, to rising poverty and malnutrition, or to poor health care? We cannot possibly reverse the trend of life expectancy unless we accurately understand the problem.

For most problems, there is a near infinite array of potential solutions, and for some problems there are few if any solutions that we may confidently believe will be successful. An important aspect of government is the development of policy proposals — solutions to public problems. This entails awareness of what has worked and not worked elsewhere, careful analytical thinking, and creative applications to the particular situation.

Next, is the area of program evaluation — systematic scientific studies of existing policies to determine whether they have worked or not and under what circumstances they have been successful?

Strategic Planning

I will close this series of lectures with an introduction to the concept of strategic planning for government. Strategic planning is a systematic process by which a government (or for that matter a business) anticipates and plans for its future. The result is a written document that guides the government and its citizens toward future goals.

Peculiarities of Decision Making in the Public Sector

So what are the major peculiarities of decision making in the public sector in a democracy? The central element is the responsibility of all, elected and administrative officials and citizens alike, to recognize that public policy making is intricately linked to democratic principles of majority rule, minority rights, and the rule of law.

Majority rule means that the basic parameters of policy decisions must be derived from knowledge of what the majority of citizens of a nation desire for themselves. They may speak through their elected representatives or through the bureaucracy. It is the obligation of these government officials to seek out the majority's will through elections, public opinion polls, and working with groups of citizens. Government policy making must be open to the public and it must involve the public either directly or through non-government organizations. And a free and vibrant press is vital to this openness.

Minority rights means that policy makers must be sensitive to the needs of minorities to protect them from being harmed by the majority. Majority rule must not mean that anything goes. Whether we are talking about protecting the interests of ethnic or regional minority groups within a country, or of protecting the rights of the elderly, the handicapped, or those with ideas we find reprehensible, all actions must be taken with full consideration of minority rights.

Rule of law means that policy makers must first determine what is within the proper responsibility of government. Within that realm, laws must be written and codified. The public must be informed of these laws. The implementation of these laws should be true to the legislative intent. Legislative enactments and presidential decrees must exist within the highest law of the land — the constitution. Likewise, administrative actions must exist within

the boundaries of the enabling legislation. The law of the land sets the parameters for government decision making at all levels.

Summary

Public policy studies are crucial to the understanding of government functions. They provide direction to a democratic government. That direction looks at the process of decision making, involving citizens, non-government organizations, and elected and administrative officials working together. It is concerned with determining what governments will and will not undertake – what is on government's agenda. This involves not only a determination of the public will, but also a careful analysis of problems and policy options. It is also concerned with the implementation of government policies, for we know that public policy is meaningless until it is carried out. It is concerned with determining if these policies are effective or not – systematic evaluations are crucial to effective policy. Together these are the elements of public policy that we will explore in the upcoming sessions.

SESSION II
MODELS OF POLICY MAKING

It is important that you remember that policy making is much more of an art than it is a science. Thus, what I can offer you is a variety of theories and perspectives that you must integrate into your own experiences in government. Individually, each of these theories is probably of little utility to you. But collectively, they should help you get a feel for how public policy can be made in a democracy. I will discuss systems, group, elite, rational-comprehensive, and incremental theories, before I focus on a particular policy process model.

Systems Theory

An excellent place to start is with systems theory for this shows the interaction of the various participants.

ENVIRONMENT

| | Decision Makers |
| President |
| Parliament |
| Courts |
| Administrator |

INPUTS → ... → OUTPUTS → OUTCOMES

FEEDBACK LOOP
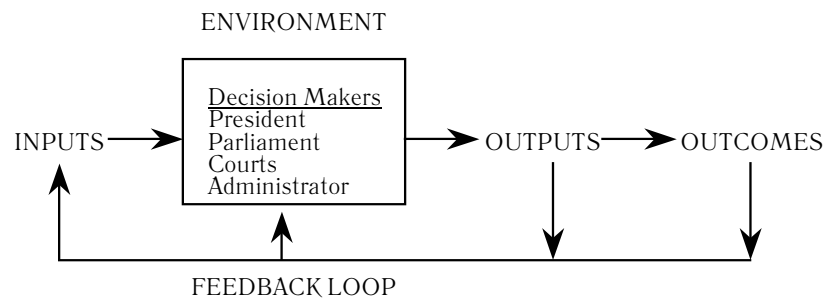
Inputs include voters, public opinion polls, citizen contacts, and non-government organizations' attempts to influence government.

Decision makers include not only elected officials, but administrators as well.

Outputs are the laws, decrees, court decisions, and administrative pronouncements. These are the foundation blocks of the rule of law.

Outcomes are knowledge of what differences are made from public policy. These are the changes that occur − enterprises privatized, buildings built, banks regulated, health care services provided, etc.

Feedback loop is the information from outputs and outcomes that citizens and ultimately decision makers receive that helps direct them in future actions.

Environment is the various characteristics of the people, the nation, and the community, that together influence how public policy will proceed.

Systems theory presents for you a basic framework for the various actors in government affairs.

Group Theory

The main contribution from group theory is the acknowledgement that in most democracies, interest groups or non-government organizations (NGOs) play a very substantial role in acting as intermediaries between individual citizens and government. We must not think that votes of individual citizens are the only way for citizen preferences to be communicated to the government. In reality, votes are terribly unclear forms of communication. Who knows why people vote as they do, and what kinds of compromises are made as they select presidents and parliamentarians? Thus, we look for individuals to create, join, and support various groups, which are intended to act as their intermediaries to government. This could include groups that represent professions (medical and law), industries (oil and electronics), ethnic groups (Crimean Tatars), or ideologies (socialists or free-market advocates). Groups do not represent all interests, but there is always the potential that new groups will be

created. These groups derive their power from their members, and are a cornerstone of public policy making. A single individual's influence is usually very limited, but when that individual joins forces with many others with similar interests, their collective power expands substantially. They will demand government action, help write legislation, elect or defeat officials, and oversee the implementation of laws.

In Ukraine such non-government organizations are only beginning to exist and to learn how to communicate with their members and with government officials. But you should be prepared that in a democracy with freedom of association and contested elections, non-government organizations will begin to play a substantial role in policy making.

Elite Theory

The theory of policy making referred to as *elite theory* assumes that the real power and decision making of a society will be highly centralized in an economic elite. Elected officials and government administrators may have the appearance of importance in public affairs, but the reality is that there is an economic elite working behind the scenes to influence and control all of the important decision of government.

As a civil servant, there is not much you can do with this theory of policy making, for it suggests that power and decision making occurs behind closed doors, far removed from the public's eye. Some maintain that it is a theory that is inconsistent with democracy, although there is little doubt that there is some tendency in democratic states with free market economies for an economic elite to exist and to attempt to exert undue influence on their own behalf.

It is hard to deny the existence of an influential economic elite in most western nations, but it is equally difficult to show that they have complete control over public policy. Rather, it seems reasonable to place the economic elite within the context of group

theory, concluding that the economic elite is but another interest group that attempts to influence government actions, and that their record of success is substantial.

Rational Comprehensive Model

In a rational comprehensive model of decision making we begin with a determination of clear policy goals and objectives for reaching each goal. We determine the values that are most important to us in relationship to these goals. Then we conduct a thorough analysis of most if not all of the possible alternatives available for reaching the goals and objectives. Next, we compare the alternatives systematically, assessing their costs and benefits, and choose the alternatives that would achieve the goal at the least cost.

There are many reasons why this model does not very accurately describe reality. The ability of human beings to process information is more limited than such a comprehensive approach would prescribe. We are unable to collect complete information on the problems and the alternatives for solving each problem. And even if we had complete information we would have difficulty understanding it all. Furthermore, in most cases, our goals are not completely clear, in large part because they are the result of political compromise. The lack of clarity is required for reaching a political consensus. In addition, we rarely begin with a blank slate, without prior experiences and vested interests; these experiences and interests provide direction for us that are difficult to ignore. Finally, in a rational comprehensive model of decision making the best alternative may require a dramatic shift in the direction of public policy. Such changes are usually full of risks, which make decisions difficult, and could paralyze decision makers who are uncomfortable with such risks.

While this rational comprehensive model of decision making appears to present the best chance for the best public policy, it is full of difficulties and dangers.

Incrementalism

The major alternative to the rational comprehensive model is called *incrementalism*. Instead of beginning consideration of each program or issue from a blank slate, decision makers take what they are currently doing as a given, and make small, incremental, marginal adjustments in that current behavior. They do not need to look at a large number of policy alternatives or spend tremendous time defining their goals. Rather, the analysis they will undertake will be for making small adjustments to current policies, something that is manageable. Afraid of potential failure, politicians shy away from grand departures. Afraid that they may not understand the unanticipated consequences that large policy change might bring about, specialists also avoid major policy changes. Both worry about the budgetary implications of major new programs, and as a result, even if they are committed to major change, they realize that you must push for one small part at a time in order to move in the preferred direction.

A problem with the incremental model is that it may never result in a problem being solved. Rather, it may present an image of policy drifting from one small policy shift to another. If you begin and end with policy that reflects the status quo, the existing powerful interests will be in control indefinitely.

One solution to the problems with this model of decision-making is to combine some of the aspects of rational comprehensive with the incremental approach. This is referred to as *mixed scanning*. One part of the organization is responsible for continuously scanning the environment for dramatically new policy approaches. They are in effect undertaking "long range planning." At the same time those with responsibility for the day-to-day operations, will continue to look primarily at incremental policy changes

During the early years of independence and statehood in the 1990's a major paradigm shift occurred in Ukraine. This newly

independent state sought to turn from a communist system, where the government owned all major societal resources of commerce, industry and services, and where the Communist Party exercised a monopoly over public affairs, to a democratic, free-market-oriented economy. At that time, incrementalism would have meant retaining this communist structure and making few major policy changes. But in a time of paradigm shifts, minor, drifting policy would have been (and perhaps was) catastrophic. How do you incrementally shift from public ownership of all to a free market? How do you create a free market but regulated banking industry where none previously existed? Thus, while incrementalism has achieved a

Agenda Building

The agenda is the list of issues up for public consideration at a particular time. Agendas are limited by politics, time and attention of policy makers, and they may change over time. We may speak of a *systemic agenda*, which is the "list" of societal concerns — those problems and issues that the public is concerned or worried about. There is a *routine agenda*, which includes the standard procedures of government such as putting an annual budget together, controlling inflation, and maintaining a military and police force. The *government agenda* is the "list" of issues that the government is actively working on.

Research indicates that chief executives tend to be most important in helping to set the government agenda. The media find it easiest to focus on a single leader rather than the multitude of parliamentarians, groups, or individual citizens. The result is that the public will see with greatest clarity the items that the chief executive is pursuing, although other participants may be involved here as well.

Later we will talk about the use of indicators, focusing events, and feedback

Policy Alternatives

There are so many important issues that concern government today that it is difficult to keep up with them all. One must be an expert in finance, housing, health care, or social security to fully understand the nature of these problems. This is also the case for understanding the policy alternatives. The result is that experts both within and outside the government tend to dominate this element of policy making. The civil servants who are experts on a particular subject will typically prepare research papers outlining policy alternatives long before they have been asked to do so by elected officials. Oftentimes, public agencies will include a policy office whose job will be to prepare such papers. But we must also expect to find NGOs active in this area. If they are substantially

impacted by specific public policies, then it is reasonable to expect that they will possess some expertise and offer their own ideas to government officials.

Policy Adoption

Just when will government officials decide the time is right for action, and what action will they take? This is the political issue of policy making, and we find that elected officials will try to read the national mood, work with organized political forces, and be able to act at particular times within election cycles. Putting together a successful coalition for policy changes requires a special skill at *bargaining*, which involves concessions and the promise of benefits to individuals or groups.

Later we will talk about the idea of a *window of opportunity* for policy changes.

Implementation

Traditionally in public administration, implementation has been the special responsibility of the bureaucracy. Once upon a time it was perceived as a non-political process of carrying out public policy that was *made* elsewhere. Today, it is clear to us that administrators are involved in all stages of the policy process, and politics permeates all of these stages. Thus, after adoption, few new laws or decrees are self-implementing and automatic. Rather, we find that administrators continue to work with all of the interested parties in refining these policies. And in this process, substantial changes may occur either strengthening, weakening or altogether hiding the original policy.

Later we will look closer at some of the implementation techniques to identify those ingredients that are associated with successful implementation.

Evaluation

The policy process model would not be complete without an evaluation stage. Certainly, there is a variety of ways for citizens and government officials to learn about the success of government policies. Some of these are informal such as standing in a long line at a bread store or seeing the cost of your weekly groceries rise. Certainly, these experiences will tell you if the bread store is run efficiently or if the supply of bread matches the demand or if wages are keeping up with the cost of living. But, by evaluation we are speaking of systematic analysis of government policies by experts who have the analytical skills to assess the ability of government policies to bring about the desired change.

Later, we will talk about some of the problems associated with evaluation research, including the identification of program goals, causality, and the relationship between evaluation research, politics, and policy changes.

Summary

I hope you remember what I said at the beginning of this lecture. Policy making is not a science; it is an art. These theories or models will not provide precise scientific guidance to you, as you become involved in public policy making activities. Rather, they are designed to sensitive you to the complex intricacies of public policy making. You must use your judgement to determine how to apply this information to your own government activities and organizations. Systems theory may help you put the pieces of the government puzzle together. Group theory should inform you of the important role that non-government organizations play in representing citizen interests to government. Elite theory will remind you that power and resources are not evenly distributed; yet it is going to be a rare democracy in which an economic elite can control everything of significance. Rational comprehensive theory tells you that systematic and thorough analysis can be taken to extremes and produce little results as far as improving policy

making. Incrementalism provides guidance for policy making that does not scare government officials, but at the same time, may not get to the root causes of a problem and therein may never result in the desired or necessary change. Finally, the policy process model may help you identify the different stages of policy making and provide some guidance as to what seems to work best at each stage.

SESSION III
POLICY PROCESS MODEL OF DECISION MAKING

Introduction

The policy process model moves sequentially from one stage of policy making to another, including the following: agenda building, development of policy alternatives, policy adoption, implementation, and evaluation. The participants as well as the politics in each stage may be different. This model gives the false impression that each of these stages is separate and unique, and that they occur sequentially. The reality is very different. For analytical purposes we treat them separately when we know that they blend together, overlap, and do not always occur in the identified order.

Participants

Typically, in the process of creating public policy in a developed democratic nation, a large number of individuals, organizations, and groups will play an active role. In a representative democracy, there is the opportunity for those with a vested interest in government action to become involved. In fact, it is their obligation to voice their interest. If they do not speak up for themselves, then it is unlikely that others will act on their behalf. Those who are involved in policy making may be classified as either from "inside" government or from "outside" government.

Inside Government

Those who are inside government include the executive administration such as the President, the Prime Minister and their respective appointed staff. The President and the Prime Minister are particularly important, obviously, because of their constitutional powers. Perhaps one of them has the power to veto legislation and

to enact executive orders (Presidential decrees). They become the main spokesmen for the government, and as a result the media will give much attention to their every action and preference.

The executive branch's high level appointed staff are also important players. They possess the ability to speak on behalf of the President and/or the Prime Minister. The fact that their time in office may be short and may be terminated by the President and/or the Prime Minister at will influences their power.

The civil servants in the executive branch departments play a role as well. They possess expertise about the functions of their departments and have greater longevity than the others mentioned. And ultimately they will have a good working relationship with the individuals and groups for which their departments provide services. Because policy cannot be implemented without their participation, they will be important throughout the process.

The members of the legislature (parliament) are obviously important players in the public policy process, for it is their formal responsibility to write laws. Their influence is based upon a blend of substantive expertise and political sensitivity. Most legislators discover that there is too much going on in their legislative body for them to maintain expertise in all areas. As a result, they will typically begin to specialize in a few substantive areas, and their colleagues in the legislature will look to them for guidance. But their actions will also be based upon the knowledge that they stand for re-election on a regular basis. They must be responsive to their constituents if they expect to keep their elected position in the legislature [This is a point that I have discussed with many people here on an informal basis, and it appears to be a point that Ukrainians do not yet fully appreciate].

In addition, the staff of the legislature will ultimately play an important public policy role. I know that this staff is just being created and trained here in Ukraine, but ultimately their role will be significant. Elected legislators cannot be expected to keep up with

all the information that is available on the vast array of issues. They will depend upon the legislative staff for direction and guidance.

Finally, there are many elected and appointed individuals and the civil servants beyond the national government. This includes those in the cities, rayons, and oblasts.

Outside Government

The individuals outside government who play an important role in public policy making cannot be overlooked. The concept of non-government organizations (NGOs) is crucial here. These are voluntary organizations created by individuals with some sort of shared interest. That shared interest will vary tremendously from job interests (coal miners and teachers), professional interests (medicine, engineering and legal), ideological (environmental protection, anti-nuclear energy), minority rights (women, ethnic groups, and handicapped), etc. The strength of these groups will depend upon the number of citizens/voters they represent, their financial resources, the extent to which they are well organized to communicate to their members and to the government, their ability to attract leaders with strong communications skills, and the extent to which their shared interest is or is not consistent with public opinion.

Other outside participants in the policy making process include the mass media, political parties, research groups, and individual citizens. An independent mass media has the ability to act as a watchdog, bringing information to the attention of those inside and outside government. Political parties are a vehicle for bringing a variety of different shared interests together and will seek to control the government itself by having its representatives elected to the Presidency and to the legislature. Independent research groups will have the ability to collect information that will inform others as to the nature of public policy problems, solutions, and program evaluations.

Together these outside government groups are a central element of policy making in a democracy. We do not depend only upon elections to communicate the public's wishes, although that is not to lessen the importance of elections. Policy making is an ongoing activity and these outside government groups will be working constantly with inside government officials to fashion, evaluate, and modify public policy.

Agenda Building

The agenda is the list of issues up for public consideration at a particular time. Agendas are limited by politics, time and attention of policy makers, and they may change over time. We may speak of a *systemic agenda*, which is the "list" of societal concerns — those problems and issues that the public is concerned or worried about. There is a *routine agenda*, which includes the standard procedures of government such as putting an annual budget together, controlling inflation, and maintaining a military and police force. The *government agenda* is the "list" of issues that the government is actively working on.

Research indicates that chief executives tend to be most important in helping to set the government agenda. The media find it easiest to focus on a single leader rather than the multitude of parliamentarians, groups, or individual citizens. The result is that the public will see with greatest clarity the items that the chief executive is pursuing, although other participants may be involved here as well. The role of a strong, independent media may be crucial here as well. Such a media may undertake investigative studies to identify problems that require government attention.

The central question of agendas is "how do problems capture the attention of government officials?" Studies suggest that there are three important factors: indicators, focusing events, and feedback.

Indicators

Governments and research groups regularly publish information that tells us how our society is functioning: currency exchange rates, rates of inflation and joblessness, life expectancy and infant mortality rates, amount of foreign investment, amount of new construction, etc. These indicators appear without an official interpretation as to whether they are good or bad. They tell us that change has or has not occurred and the amount of change. It is up to others to interpret these indicators.

Focusing Events

Problems are not self-evident by the indicators. They need a little push to get the attention of people in and around government. That push is sometimes provided by a focusing event like a crisis or disaster or a personal experience of a policy maker. Examples include the Chernobyl explosion which called the safety of nuclear power plants into question, contamination of a city's water supply after a flood which lead us to look closely at the condition of that city's infrastructure, and the infection of a leader's child with AIDS to lead us to be concerned with the spread of that deadly disease. These events will get the attention of the media, citizens, and elected officials, and may provide the incentive to look more closely at a problem. By themselves they are not very important, but combined with data from indicators and feedback, they may be crucial.

Feedback

Executive and legislative officials as well as outside groups will be looking constantly at many government programs to determine their level of success in meeting the goals. Has legislation been implemented in accordance with expectations, and has it had the expected result? Monitoring the actions of administrative agencies and evaluating their programs will produce feedback. And this

feedback may be influential in transforming problems of society to issues of concern on the government agenda.

Condition vs. Problem

There are so many things happening in society that it is often difficult to determine if a condition that we have become accustomed to should be classified as a "problem." In Lviv the water is turned off every afternoon in many residential buildings. Is that a condition that people learn to live with? Or is it a problem for which the government of Lviv should seek a solution? For a condition to become a problem an interpretative element based on values and comparisons must be added. A condition is no longer acceptable when citizens do not want to be inconvenienced and know that such conditions are not acceptable in other western cities.

Policy Alternatives

There are so many important issues that concern government today that it is difficult to keep up with them all. One must be an expert in economics, housing, health care, or social security to fully understand the nature of these problems. This is particularly the case for understanding policy alternatives. The result is that experts both within and outside the government tend to dominate this element of policy making. The civil servants who are experts on a particular subject will typically prepare research papers outlining policy alternatives long before they have been asked to do so by elected officials. Oftentimes, public agencies will include a policy office whose job will be to prepare such papers. But we must also expect to find NGOs active in this area. If they are substantially impacted by specific public policies, then it is reasonable to expect that they will possess some expertise and offer their own ideas to government officials. The experts inside and outside government prepare policy proposals and exchange ideas among themselves continuously modifying their proposals through persuasion until there is some general acceptance of an idea.

It is important to realize that more often than not there are so many disparate policy proposals floating around that there is no sign of consensus possible. New policy decisions are unlikely in this situation. It is not until such proposals bump into others, are modified, and a sign of consensus begins to emerge, that new policies will be formulated.

Technical Feasibility

There are many criteria for a policy proposal to be successful. Technical feasibility means that a proposal may be implemented with personnel and facilities that are reasonably available and there is some reason to believe that the solution will in fact achieve the desired goal. Will, for example, keeping a particular industry under the control of the national government enable it to modernize and become competitive on a world market? Is the decision not to privatise a particular enterprise technically feasible?

Value Acceptability

For a policy proposal to be successful, it must reflect the dominant values of the experts, the elected officials, and ultimately of the community. Thus, in the United States, a proposal to nationalize the oil industry during a time of energy shortages was not given serious consideration. Why? The dominant values in America are highly suspicious of government in all forms and do not view government ownership of industry as an attractive concept. Likewise, here in Ukraine, a proposal to privatise virtually all industry would have difficulty being accepted for there is a tradition of total government ownership, and such a move would be considered too dramatic. Every society has its own set of dominant values, which will be considered. This includes such concepts as equity, efficiency, and the proper size of government.

Tolerable Costs

Policy proposals must be reasonable to be fully considered, and the idea of tolerable costs is probably foremost. A proposal to match Ukrainian wages to those of Western Europe, for example, could not be considered seriously due to the tremendous and currently unrealistic cost involved. A proposal to raise pensioners' income to match average wages of $60 per month, while desirable, would have difficulty for the same reason. Clearly, the cost of implementing a proposal must be within the realistic realm of what a government and society can afford at that point in time.

Reasonable Chance of Acceptance by Elected Officials

Individuals who are developing policy proposals must look around the decision-making community and ask whether a proposal stands a reasonable chance of passage in the legislature or with the chief executive. This is not the same as certainty of acceptance. Those working on policy proposals need to be sensitive to the chances that the proposal will be adopted.

Policy Adoption

Just when will government officials decide the time is right for action, and what action will they take? This is the political issue of policy making. Elected officials will try to read the national mood, work with organized political forces, and be able to act at particular times within election cycles. Putting together a successful coalition for policy changes requires a special skill at *bargaining*, which involves concessions and the promise of benefits to individuals or groups.

National Mood

It is suggested that elected officials come to know the national mood when they feel that the time is right for a new public policy. What then is the national mood? It is difficult to say that it is public opinion, for there is much evidence of officials acting contrary to

public opinion. It is difficult to explain and identify. Elected officials hear what leaders in NGOs are saying, what is being written in newspaper editorials, how the media covers events, what political activists are saying, and what their constituents are saying when they speak with them in person. Likewise, non-elected officials tend to sense the national mood from what they hear from politicians. It is the job of politicians to be sensitive to such things.

Organized Political Forces

Again, the role of NGOs is seen in this political dimension of the policy process. In the absence of political opposition, NGO support for a particular idea will play an important role in the passage of new legislation. If there are opposing forces, then elected officials will be looking for ways of striking a balance between different interests. NGO opposition to a particular policy may enable that group to block a particular proposal.

Government in the Political Process

Events within government itself will provide an opportunity or not for the passage of new policy. These events include the turnover of key personnel, such as the election of a new President, the selection of a new Prime Minister, new leadership in the legislature, new senior staff for the President, and new heads of administrative agencies. In each case, the presence of new individuals in positions in government may result in a *honeymoon period* where that individual has the freedom to create new policies. Likewise, it may provide an opportunity to move away from the "old" way of doing business.

Bargaining

In the political dimension of policy making a consensus that action is necessary is the result of intensive bargaining − give and take − granting concessions in return for support of a coalition seeking new action. The discussion is likely to be: "You give me my provision, and I'll give you yours."

Window of Opportunity

This policy process model conceptualizes three separate activities taking place simultaneously. First, is the creation of a government agenda that says a condition is no longer tolerable and is in need of government action. Second, is the development of policy alternatives that are feasible in every way. And third, is the presence of a political situation that is ripe for action. Problem, policy, and politics. When these three activities occur simultaneously, there exists a *window of opportunity* for the development and adoption of new public policy.

But oftentimes a window of opportunity may be passed up, or not realized. This occurs because of a belief that action has been taken when perhaps it has not, when an attempt at adopting new policy has failed, when the events that led to the issue being on the agenda have passed, or when there has been another change in personnel.

Implementation

Traditionally in public administration, implementation has been the special and sole responsibility of the bureaucracy. It was once perceived to be a non-political process of carrying out public policy that was *made* elsewhere. Today, it is clear to us that administrators are involved in all stages of the policy process, and politics permeates all of these stages. Thus, after adoption, few new laws or decrees are self-implementing and automatic. Rather, we find that administrators continue to work with all of the interested parties in refining these policies. And in this process, substantial changes may occur either strengthening, weakening or altogether hiding the original policy.

A few of the conditions of effective implementation will be discussed. First, it is important that implementation be considered during the policy making process. If you do not begin to think about successful implementation until after new policies are adopted,

those policies are probably doomed to failure. Second, policy objectives need to be clear and consistent, or else administrators will not know what is expected. Third, the policy must be assigned to a sympathetic agency with the organization, funds, rules and supporters that are necessary for success. Forth, the agency must possess managerial and political leadership. And fifth, the priorities of the government and the agency must not change.

Evaluation

The policy process model would not be complete without an evaluation stage. Certainly, there is a variety of ways for citizens and government officials to learn about the success of government policies. Some of these are informal such as standing in a long line at a bread store or seeing the cost of your weekly groceries rise. Certainly, these experiences will tell you if the bread store is run efficiently or if the supply of bread matches the demand or if wages are keeping up with the cost of living. But, by evaluation we are speaking of systematic analysis of government policies by experts who have the analytical skills to assess the ability of government policies to bring about the desired change.

Evaluation research follows the same principles of scientific methodology as other types of research. Yet it is usually taking place in a live, dynamic policy environment, which creates some special challenges. First, is the typical lack of a clear policy goal in the program being evaluated. Without such a goal, it is going to be difficult to determine if a program is successful or not. Successful at what? Who knows? Thus, one of the first steps of program evaluation is to clarify the goals against which the program is to be assessed. This will be an interactive process in which many research scientists will be uncomfortable.

Second, as in much of social science, there is a challenge of identifying reasonable causal linkages between program characteristics and policy outcomes and impacts. Just because there has been change in the original problem for which the new

program was created does not mean that the change was a result of the program. Other things, unrelated to the new program may be responsible for the results.

Third, for many government programs, it is difficult to identify policy impacts to be measured. Exactly how are we going to determine that the programs of the local music institutes are successful or not? What policy impacts do we expect from a new cultural museum? What gain is anticipated for a country sending troops to another country to keep peace?

Forth, data collection in evaluation may be tremendously difficult. It is not at all unusual to find that government officials running programs are not interested in cooperating with evaluators whose job it is to determine if the programs those same government officials are running are successful. For example: How well run are the large government enterprises in Ukraine? Do you expect their managers to fully cooperate with outside evaluators?

Fifth, evaluation research has a tendency to provide technical answers for questions that political officials do not find of interest. Many government programs continue not because they are successful (who cares?), but rather because they are politically attractive to some group of citizens that benefit from the program's continuation.

Summary

I hope you remember what I said at the beginning of these lectures. Policy making is not a science; it is an art. These theories or models will not provide precise scientific guidance to you, as you become involved in public policy making activities. Rather, they are designed to sensitive you to the complex intricacies of public policy making. You must use your judgement to determine how to apply this information to your own government activities and organizations. Systems theory may help you put the pieces of the government puzzle together. Group theory should inform you of the important role that non-government organizations play in

representing citizens' interests to government. Elite theory will remind you that power and resources are not evenly distributed, yet it is going to be a rare democracy in which an economic elite can control everything of significance. Rational comprehensive theory tells you that systematic and thorough analysis can be taken to extremes and produce little results as far as improving policy making. Incrementalism provides guidance for policy making that does not scare government officials, but at the same time, may not get to the root causes of a problem and therein may never result in the desired or necessary change. Finally, the policy process model may help you identify the different stages of policy making and provide some guidance as to what seems to work best at each stage.

SESSION IV
EVALUATION

The policy process model would not be complete without an evaluation stage. Certainly, there is a variety of ways for citizens and government officials to learn about the success of government policies. Some of these are informal such as standing in a long line at a bread store or seeing the cost of your weekly groceries rise. Certainly, these experiences will tell you if the bread store is run efficiently or if the supply of bread matches the demand or if wages are keeping up with the cost of living. But, by evaluation we are speaking of systematic analysis of government policies by experts who have the analytical skills to assess the ability of government policies to bring about the desired change.

Dependent Variable – Effectiveness

Program evaluations are complex research projects. They must determine if policy is effective or not, and explain why that is the case. A dependent variable measures the concept of effectiveness, and evaluation research would be useless without a clear explanation of this concept. So, if we were evaluating the Ukrainian Academy of Public Administration, for example, we would need to know what its goals are and whether or not those goals have been achieved.

Independent Variable – Explanation of Effectiveness

It is a rare public program that is always effective or always not effective. Usually, the picture is mixed. Thus, it is important to analyze the conditions under which a public policy is effective. Ukraine is a large country, and what works in Kyiv may not work in Luhansk, Lviv, or Kherson, much less in small villages. So, if we are evaluating the Ukrainian Academy of Public Administration, it will be important to know what kinds of students are successful. This will

include their age, education, and current employment, as well as their concentration, year at the Academy, and location of internship. These are some of the independent variables that may help us understand when the Academy is successful and when it is not.

We might also want to know if the Academy had adequate resources to meet its objectives. Does it have the money to hire qualified faculty? Are qualified faculty available? Is the Academy administered well? All of these are important factors to measure and understand as we seek to evaluate the Academy's success in meeting its goals.

Problems in Program Evaluation

There are many problems of program evaluation that deserve special attention. These include the difficulty of determining policy goals to be evaluated, the establishment of causal linkages, the lack of clarity in understanding policy impacts, the special difficulty in collecting data, and the question of whether evaluation study results will be used in making future policy decisions.

Determining Policy Goals

Evaluation research follows the same principles of scientific methodology as other types of research. Yet it is usually taking place in a live, dynamic policy environment which creates some special challenges. First, is the typical lack of a clear policy goal in the program being evaluated. Without such a goal, it is going to be difficult to determine if a program is successful or not. Successful at what? Who knows? Thus, one of the first steps of program evaluation is to clarify the goals against which the program is to be assessed. This will be an interactive process in which many research scientists will be uncomfortable for they will be thrust into the politics of policy making − the determination of the goals of a program is a political process wherein the various actors will disagree. This is a difficult environment for the program evaluation expert.

Causal Linkages

Second, as in much of social science, there is a challenge of identifying reasonable causal linkages between program characteristics and policy outcomes and impacts. Just because there has been change in the original problem for which the new program was created does not mean that the change was a result of the program. Other things, unrelated to the new program may be responsible for the results. If I am studying the success of a new prenatal health care program (services to pregnant women designed to decrease infant mortality rates), is it the additional visit to the doctor in the first trimester of the pregnancy that reduces the chance of an unhealthy delivery, or are changes in the economy making a balanced diet possible the essential causal factors?

Unclear Policy Impacts

Third, for many government programs, it is difficult to identify policy impacts to be measured. Exactly how are we going to determine that the programs of the local music institutes are successful or not? What policy impacts do we expect from a new cultural museum? What gain is anticipated for a country sending troops to another country to keep peace? In each case it will be difficult to identify a clear and measurable impact that the government program is trying to achieve.

Data Collection

Forth, data collection in evaluation may be tremendously difficult. It is not at all unusual to find that government officials running programs are not interested in cooperating with evaluators whose job is to determine if the programs those same government officials are running are successful. [Example: How well run are the large government enterprises? Do you expect their managers to fully cooperate with outside evaluators?]

Are Results Used?

Fifth, evaluation research has a tendency to provide technical answers for questions that political officials do not find of interest. Many government programs continue not because they are successful (who cares?), but rather because they are politically attractive to some group of citizens that benefit from the program's continuation. What kind of policy change in Ukraine might be the result of an evaluation study of the damage caused by coal to the environment? Can Ukraine afford to shift energy sources?

Stages of Evaluation Research

The first activity of program evaluation is *goal identification* as I have suggested previously. What is the program designed to accomplish? Secondly, this is followed by the creation of an *impact model* in which those factors, which will explain the program's success, as well as those factors, which will be used to measure the goal, are identified in a causal relationship. Third, is the development of a *research design*. This is a paper in which all elements and stages of the research are explained. What is the research problem; what are the independent and dependent variables; how will they be measured; what is the source of data or information; and what kind of statistics will be used in the analysis of the data. Forth, is *data collection* or the accumulation of all of the information necessary for completing the evaluation. The fifth stage includes conducting the *data analysis* and *writing a report*.

Summary

Program evaluation is an important element in the professional administration of government programs. Otherwise taxpayers' funds are being spent without systematic knowledge of whether these efforts are successful or whether they are producing results that may run counter to legislators' and executives' intentions.

SESSION V
STRATEGIC PLANNING

Strategic planning is a systematic process by which a government (or for that matter a business) anticipates and plans for its future. The result is a written document that guides the government and its citizens toward future goals. It should not replace other planning activities, but rather complement them. It should help identify the critical issues facing a community or organization as it moves into the future.

Strategic planning has been widely used by private corporations for over forty years, but it is relatively new in government. There is some debate as to whether the results of these efforts are worth the time and expense. Government managers should understand the weaknesses and limitations of strategic planning and should not expect miraculous results. Then, it can be viewed as an important organizational management tool. The importance of effective strategic planning lies in its ability to identify the critical current issues that an organization must confront in order to adequately address and accommodate future issues.

Benefits of Strategic Planning

To fully appreciate the benefits of strategic planning, it is useful to recognize that it is both a *process* and a *product*. The *process* involves a systematic examination of the organization and its environment by those who have a stake in its future success. The *product* is a document specifying the actions required to achieve future goals based on the information identified during the planning process. These components of strategic planning produce many benefits to any government organization.

Strategic planning improves the chances that the leaders of an organization will understand the future and be prepared for it rather

than constantly reacting to future events as they occur. If future events are identified before they occur, they can be dealt with appropriately.

Strategic planning forces the people in an organization to come together to discuss the strengths and weaknesses of their organization, where they would like to go, and how best to get there.

Strategic planning encourages goal-setting and reaching a *consensus* around those goals which increases the likelihood of achieving the goals. At the local level of government, this will involve bringing many citizens together who have different views about what government should be doing. They reach a consensus through compromise and sometimes difficult concessions. The process of arriving at the consensus is very important to strategic planning.

Strategic planning helps to determine how personnel and funds will be used. It is built upon the idea that these resources are scarce, and that there is much competition for them.

Finally, strategic planning presents goals and objectives which can be used as *benchmarks*, or measurements against which performance can be gauged. In this way a government and its citizens can know if success has been achieved or not.

Problems of Strategic Planning

Do not regard the plan as an end point. The process of discussion and analysis should continue long after the plan is completed. Plans should not be shelved and forgotten. The plan itself must remain subject to modification. It should be reviewed on a regular basis and changes should be considered. All assumptions should be open to debate and review. All points of view in an organization should be heard so that the full support of the strategic planning process can be obtained. The strategic plan should become the basis of action during the upcoming year.

Strategic Planning Process

The strategic planning process involves a number of different actions. First, a government organization must make the decision to commence a strategic planning process. Once such a decision has been made, an individual or organization must be given responsibility for coordinating the planning process.

Stakeholders

Next, the various "stakeholders" of the government organization should be identified. *Stakeholder* refers to those persons who have a direct interest in what is done by the organization. This might include elected and administrative officials, recipients of government services, and others who may be impacted. All of these individuals will be involved at various stages of the strategic planning process. Those who are running the process must decide who to involve, how to involve them, and how to obtain ideas from those who are not directly involved.

Announce the Decision and Start the Process

The decision to undertake a strategic planning process and the expected benefits should be announced to all of the various stakeholder groups. An overall plan of what must be done, when, and by whom, should be created. This will set the structure of the planning process. This can only be done once the need for strategic planning is explained and understood and initial support from various stakeholders is identified. Next, the participants in the strategic planning process will be selected, and the group will begin to meet and review its schedule.

Inherent Beliefs

Strategic planning gives consideration to the *inherent beliefs* of an organization. These may be the values of the organization such as attitudes toward change, concern for people, teamwork, a belief in being the best, and a belief in superior quality and service.

The strategic planning group will identify these beliefs early in their meetings.

Mission Statement

One of the earliest activities of strategic planning is the creation or review of the organization's *mission statement*. It is the "raison d'être" or the reason for being. It should seldom change. It is an organization's vision, purpose or objective. The statement should be concise, yet include enough information to withstand changes needed over time. It will communicate the organization's purpose to its employees and other stakeholders.

Environmental Scan

Strategic planning gives considerable attention to an *environmental scan* that attempts to identify those issues and problems that might have a significant impact on a community. It is assumed that government organizations do not exist in a vacuum. Included will be organizational characteristics as well as external factors such as demographic, economic, technological, and political changes. As many different factors as possible should be considered in this environmental scan. The purpose of this scan is to examine the factors that may affect an organization's future so this kind of relationship should be explained for each environmental factor.

S. . O. T. Analysis

S. W. O. T. analysis refers to a creative, analytical effort to determine the *strengths, weaknesses, opportunities,* and *threats* of an organization. SWOT analysis is one of the most effective tools an organization can use to improve itself. Strengths and weaknesses focus specifically on the positive and negative *internal* characteristics of an organization. Opportunities and threats focus specifically on the positive and negative *external* environment of an organization. For strengths, we might ask, what are your advantages, what do you do well, how do others see you favourably? For weaknesses, we might ask, what could be improved, what is

done badly, what should be avoided? For opportunities, we might look for favourable opportunities facing an organization or trends that the organization might take advantage of. Finally, for threats, we might look at the major external obstacles to success.

Goals and Objectives

The next steps in strategic planning are to decide where the organization wants to be in the years ahead and to determine how to get there. This includes setting goals and objectives, devising strategies, and creating implementation plans. These steps should have roughly a one-year time span, although the environmental scan and mission statement looked much further into the future. Goals may change from time to time, but change will come slowly. Goals should be general in nature

Objectives are the specific, measurable targets set for each goal. They are short-term in nature, and there are usually several for each goal. A plan's success will be measured against these measurable objectives. Often objectives may be broken into sub- and sub-sub-objectives, depending on the desired level of detail in the plan. Objectives must be stated as briefly as possible and be immediately understandable.

Strategies

Strategies are the step-by-step means by which an organization reaches its objectives. They will include programs, events, operations, and projects for the organization to accomplish its objectives. They may also be called *action steps*. Usually, each objective under each goal will have a series of such strategies. The goals and objectives indicate *where* the organization wants to go and *what* it expects to accomplish, and the strategies tell *how*. If inadequate funding is not available for a particular strategy, then new sources of funding must be identified.

Implementation Plan

The implementation plan takes the strategic planning process to the *level of individuals*. It assigns specific responsibilities for those programs and strategies. Individuals and groups within the organization are drawn into the plan. It is the basis for personnel assignments and performance measures. For this reason, it is critical that this section of the plan receives commitment from all managers and workers in the government agency.

Review of the Strategic Plan

The implementation plan is a blueprint for action by the government organization during the coming year. As the year goes by, managers and supervisors need some means to determine how successfully the plan is being carried out. Also, they will need some guidance on what to do if the plan is not proceeding as expected.

Performance measures are the indicators of progress toward the plan's objectives. The necessary data must be collected as the plan is being carried out. This includes records of activities and progress and performance appraisals. From these data it will be determined if the strategic plan is on track.

A *feedback session* from one year's progress to the next year's plan is an important task of strategic planning. It may be as simple as a reminder to hold a meeting in which the lessons from one year's efforts are used to help guide the preparation of the next year's plan.

Finally, a series of *contingency plans* — "what if" situations — should be prepared. Each contingency includes an implementation plan to be used "in the event" that it is needed. Such plans may be needed if environmental factors were not clearly understood. They prepare an organization for a disaster rather than permitting the disaster to take control.

Summary

In conclusion, if you find the ideas of strategic planning interesting and appropriate to your government situation, I encourage you to find copies of different kinds of strategic plans — business, local government, and a ministry department — to read and study. There are perhaps as many different ways of structuring strategic planning as there are organizations conducting such planning. It is important that strategic planning be tailored to your unique situation whenever possible.

GLOSSARY OF TERMS

Agenda A list of issues that are under consideration for public policy modification.

Causal linkages In evaluation research: the theoretical connections between independent variables, public policy programs and outcomes.

Civil servants Government administrators or bureaucrats who are hired based upon a formalized merit system.

Codification The systematic arrangement of all laws into a retrievable system.

Decision makers In public policy: this refers to the formal policy makers including the chief executive, the legislators or parliamentarians, judges and government administrators.

Democracy A representative form of government that emphasizes majority rule and minority rights.

Dependent variable In evaluation research: the measures of policy effectiveness.

Elite theory The idea that there is an economic elite in society that has undue influence if not control of the public policy making process.

Environmental scan In strategic planning: a systematic analysis of factors external to the government or an agency, including political, economic, social, and technological factors.

Feedback loop In public policy: the mechanism by which public policy decisions and outcomes become known to decision makers and therein become inputs into the policy making process.

Focusing event A society event or happening, often catastrophic, that brings the public's attention to a public policy problem.

Government agenda Those issues that are under formal review by public policy makers.

Group theory The idea that interest groups or non-government organizations are a principal means by which individuals express their public policy preferences to government.

Honeymoon period The initial time period after an election when, as a result of popularity and high public expectations, a chief executive has a unique opportunity to create new public policies.

Implementation Carrying out public policy decisions.

Incrementalism theory   The idea that public policy is best when it is based upon small steps that are only marginally different from existing public policy.

Independent variable   In evaluation research: the factors that influence whether and under what conditions a public policy is effective.

Indicators   Measures of public policy problems and conditions often generated by government organizations to measure the condition of society in various arenas.

Inherent beliefs   In strategic planning: the basic values of an organization.

Inputs   In public policy: voters, public opinion, citizen contacts and interest group or NGO efforts to have their voice heard by policy makers.

Legislative staff   The personnel who work for individual legislators and for the legislative body who provide support for constituent relations and public policy analysis.

Majority rule   A principal component of democracy that calls for decisions (policy or selection of representatives) to be made by the majority of voters.

Minority rights	A principal component of democracy by which the basic natural rights of minorities are protected from majority rule.
Mission statement	In strategic planning: a concise statement of an organization's basic purpose, which guides all of its actions.
Mixed scanning theory	A cross between rational comprehensive and incrementalism theories, that allows for a broad systematic overview of problems and solutions, but limits such an analysis to a limited array of issues.
Non government organization (NGO)	An interest group or organization of interests of society that works to further their own self-interest or ideals.
Outcomes	In public policy: the results of public policy decisions that illustrate the changes in society that occur as a result of policy.
Outputs	In public policy: this refers to executive orders, laws, court decision, and formal administrative rulings.
Policy adoption	The process by which formal public policy makers make public policy decisions.
Policy alternatives	The array of public policy options that are available for each public policy problem; they may be generated within or outside government.

Policy goals In evaluation research: the first stage of developing a clear agreed-upon set of goals that a public policy is designed to achieve.

Policy impacts In evaluation research: the independent variable that measures what difference a public policy has upon society.

Policy process model A sequential process of policy making that includes agenda building, development of policy alternatives, policy adoption, implementation, and evaluation.

Policy proposals Solutions to public policy problems that may be developed within or outside the government.

Program evaluation Formally assessing the effectiveness of public policies.

Public opinion Attitudes and beliefs of the public concerning public policy.

Public policy problems Conditions of society that are deemed appropriate for government attention and action.

Rational comprehensive theory The idea that there is a systematic process for making public policy decisions that is based upon perfect knowledge of problems and solutions and can therein result in optimal if not perfect public policy actions.

Routine agenda Those issues that require government action because they are a part of the regularized procedures of government organizations (like preparing an annual budget).

Rule of law The concept that government action is directed by and derived from formally adopted laws and not by arbitrary action of individuals.

Stakeholders In strategic planning: those individuals who have a vested interest in a public policy by virtue of their employment, their personal well-being, or their beliefs.

Strategic planning A systematic process for anticipating and planning for the future of an organization.

SWOT analysis In strategic planning: a systematic analysis of the strengths, weaknesses, opportunities, and threats to an organization.

Systemic agenda Those issues about which the public is concerned.

Systems theory Theory that all parts of society interact in an orderly fashion from input to decision makers which results in outputs and outcomes and a feedback loop that relates back to inputs; all factors are influenced by the environment.

Technical feasibility A criteria for success of a policy alternative; focuses on whether a solution has *known* characteristics that will produce the desired result; will it work?

Tolerable costs A criteria for success of a policy alternative; can the government afford a solution.

Value acceptability A criteria for success of a policy alternative; a solution built upon the basic values of society or of important groups.

Window of feasibility 100