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VI - Semester

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PUBLIC POLICY ANALYSIS

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INTRODUCTION

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Public policy is defined as a course of action of a government to address a public issue by instituting laws, regulations, decisions, or actions related to the problem at hand. Numerous issues, such as crime, education, foreign policy, health and social welfare, can be addressed by public policy. As an academic discipline, public policy includes the elements of many social science fields and concepts, such as economics, sociology, political science, policy analysis and public management. Shaping public policy is an intricate and many-sided process. It involves the interaction between various individuals and interest groups competing and collaborating to influence policymakers to take action in a particular way. These individuals and groups make use of different tactics and tools to press forward their aims and objectives.

Public Policy analysis is a subset of the public policy studies. As the name suggests, it involves the evaluation of different public policies including analysis of different aspects including their making, implementation, impact and ways for improvement.

This book, *Public Policy Analysis*, has been designed keeping in mind the self-instruction mode (SIM) format and follows a simple pattern, wherein each unit of the book begins with the Introduction followed by the Objectives for the topic. The content is then presented in a simple and easy-to-understand manner and is interspersed with Check Your Progress questions to reinforce the student's understanding of the topic. A list of Self-Assessment Questions and Exercises is also provided at the end of each unit. The Summary and Key Words further act as useful tools for students and are meant for effective recapitulation of the text.

BLOCK - I
CONCEPTS OF PUBLIC POLICY

*Introduction to Public
Policy: Concepts and
Significance*

**UNIT 1 INTRODUCTION TO
PUBLIC POLICY:
CONCEPTS AND
SIGNIFICANCE**

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1.0 INTRODUCTION

The concept of welfare state strengthens the importance of public policy among the social scientists in general and policy researchers in particular. The advancement in technology, industrialization, urbanization and population growth complicates citizens' everyday life in searching food, shelter and other necessities of life. Here, State comes with its positive role to solve these complex problems through public policy. The government frames policies to improve the quality of life of all sections of society and to solve the common problems of citizens. A policy is either explicit or implicit goal oriented statement of a government (federal/local), an agency or some other unit of organization.

In this unit, you will learn about the concept of public policy along with the significance and scope of public policy.

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1.1 OBJECTIVES

After going through this unit, you will be able to:

- Discuss the concept of public policy
- Describe the significance of public policy
- Examine the scope of public policy
- Explain the characteristics of public policy

1.2 CONCEPTS OF PUBLIC AND POLICY

Public policy provides a framework in which the government actions are undertaken to achieve goals for common good. Public policy plays a pivotal role for any government. Elected officials are voted into power by the citizen of a country to influence public policy. During the election campaign, potential policies are advertised by the candidates and political parties and in addition to that the implementation and non-implementation of policies are discussed and debated to influence citizens to vote for or against the candidates and political parties. A sound public policy helps in achieving various goals related to the growth and development of a nation and its citizen.

Public policy is one of the frequent concepts to discussed in all sphere of everyday life. Though public policy emerged in 1960s but it was present in different forms since the beginning of the human civilization. Policy studies is not a branch of any discipline but encompasses political science, sociology, philosophy, economics and other disciplines. Policy studies take elements from different disciplines, such as the process of policy-making by which policy decisions are made is taken from political science; concepts such as instrumental rationality, cost/benefits, maximization, specific economic policies are taken from economics; philosophy emphasis on logic, values, and ethics; social problems, class and status are taken from sociology. Initially, policy studies were dominated by political science researchers in which major focus was on institutional structure and philosophical justification of the government. In this period of time, the researchers did not give that much orientation and importance towards policies themselves.

In this context, a policy studies researcher, Thomas Dye said, ‘Traditional (political science) studies described the institutions in which public policy was formulated. But unfortunately, the linkages between important institutional arrangements and the content of public policy were largely unexplored.’ The scholars of political science focus on processes by which public policy is determined and most of the scholars of public administration, a closely related field of political science, focus on the machinery for the implementation of given policies. Therefore, earlier policy studies dominated by the scholars and researchers of political science and public administration and their focus was more on the process and content of

policy-making and implementation. Over a period of time, the policy studies have evolved into a separate branch of study called policy science.

1.2.1 The Concept of Public

For better understanding of the concept of public policy, it is important to understand the idea of 'public' and 'policy' separately. The word 'public' is found in a number of expressions of public policy such as public interest, public sector, public opinion, public health, public finance, public property and public law. Public policies are operational in the public realm for public purpose. However, there has always been conflict between public and private realms in which people operate everyday life. The basic difference is that the public sphere is the realm of politics where people come together to engage in the exchange of ideas and thoughts, and it is open to all, whereas the private sphere is a smaller and closed realm and one needs permission to enter it. According to Habermas, the public sphere is 'made up of private people gathered together as a public and articulating the needs of society with the state.' W. B. Baber (as quoted in Massey, 1993) describes that the public sector has ten key differences from the private sector that is:

- It faces more complex and ambiguous tasks.
- It has more problems in implementing its decisions.
- It employs more people with a wider range of motivations. It is more concerned with securing opportunities or improving capacities.
- It is more concerned with compensating for market failure.
- It engages in activities with symbolic significance.
- It is held to strict standards of commitment and legality.
- It has a greater opportunity to respond to issues of fairness.
- It must operate or appear to operate in the public interest.
- It must maintain minimal levels of public support.

1.2.2 The Concept of Policy

Policy is a plan of action adopted by an individual or social group. Policy is made to address some sort of issue or problem that requires attention. It might take the form of law or regulation. Hogwood and Gunn describe ten uses of the term 'policy' that is, policy as a label for a field of activity; an expression of desired state of affairs; specific proposals; decisions of government; frontal authorization; a programme; an output; an outcome; and a theory or model. Policy is a law, regulation, procedure, administrative action, or voluntary practice of governments and other institutions. Policies are categorized into two; macro policies and specific policies. Macro policies provide framework within which specific policies are developed. They are implemented through specific policies. Specific policies are of specific objective defined, which are actionable in nature.

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Public policy is ‘whatever governments choose to do or not to do.’ It is also the outcome of struggle in government over who gets what? It is also a deliberate plan of action of the government to guide decisions and achieve rational outcome.

1.2.3 Definitions of Public Policy

Definitions of public policy given by some scholars are as follows:

- **David Easton:** Public Policy is authoritative allocation of values for the whole society.
- **Thomas Dye:** Whatever government chooses to do or not to do.
- **Frohock:** Public Policy is a patterned attempt either to resolve or manage political disputes or to persuade rational incentives to secure agreed upon goals, with public issues capable of ranging from and wide over both material goods and ethical issues.
- **Cochran and Molone:** Public Policy is the study of government decisions and actions designed to deal with a matter of public concern.
- **Yehezkel Dror:** Policies are ‘general directives on the main lines of action to be followed.’
- Brian Smith defines public policy as the outcome of decisions about the political allocation of resources which is characterized by the use of legal and coercive sanctions, the application of political values to problem-solving, and is of general concern.
- Richard Rose opined that policy-making involves a long series of more-or-less related activities rather than a single, discrete decision.
- **James E. Anderson:** ‘policy is a purposive course of action followed by an actor or set of actors in dealing with a problem or matter of concern’, and that ‘public policies are those policies developed by governmental bodies and officials’.

After analyzing the above mentioned definitions, you will come to surmise that:

- Public policy can be defined as decisions taken by the government designed to deal with issues and problems of the state.
- It is the principal set of do’s and don’ts formulated by the government which is to be followed by individuals and concerned groups to achieve a specific objective or rational outcomes.
- It is a means through which government maintains order or addresses the need of its citizen through actions defined by its constitution.

1.2.4 Essential Characteristics of Public Policy

According to Professor of Public Management Christopher Pollitt, the essential characteristics of public policies are as follows:

- Policies are a process of decision-making and activity. They customarily involve a series of decisions taken over an extended period of time, an exercise of power and rationality.

- This process of decision-making takes place mainly within a framework of prescribed organizational roles, which constitute a series of formal institutions of the state with special legal characteristics.
- Policies commonly involve exchange of information and resources, discussion, bargaining, etc., between and within the state agencies.
- Policy-making usually entails interaction with a variety of 'external' interest groups. The content, closeness and timing of these interactions is an important subject for empirical investigation.
- Policy is directed at increasing the probability of occurrence of desired states of the world in the future.
- The State institutions which claim responsibility for public policies almost invariably legitimate their activities by claiming that their policies are in the general (public) interest rather than favouring any group, section or individual.

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1.3 SCOPE AND SIGNIFICANCE OF PUBLIC POLICY

Let us first understand the scope of public policy.

The concept of public policy has always been there in any system of the government. The quantum of government's work and engagement is growing day by day particularly in developing countries. This is happening in response to the growing public demand and impact of complexity of innovation and technology, industrialization, urbanization and social organization. Though we have entered the era of liberalization, privatization and globalization, the governments have to perform several developmental as well as regulatory functions. The governments of the day play a crucial role in dealing with complex issues of nation building and other socio-economic activities.

According to the UN, in countries where the problem of poverty is less serious, there is great pressure on governments to accelerate national development, make use of up-to-date and relevant technological innovations, adopt and facilitate necessary institutional changes, increase national production, make full use of human and other resources and improve the level of living. Therefore, these trends have increased the scope of public policy. The everyday life of citizens is affected by public policies. In this context, one can imply that public policies have a great influence on citizens.

Significance

The sole focus in public policy lies on the issues and problems of the public. The main concern is how these issues and problems get identified and how they are placed on the political and policy agenda. The study on public policy is important as it offers learners to comprehend what policies are, how they are made, the

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involvement of politics while making them, the theoretical framework for analysing them and finally the impact they have on the citizens. Public policy plays a significant role in society as it helps to know the intention of the government for a particular section of society. It also exposes the government's intension towards a particular section or community if the policies are not inclusive. Public policy helps citizens in measuring the achievements claimed by the government. It also helps to respond to the needs of the society.

Public policy is important in how our society is managed. It captures the intentions of the government. There is no imagination of governance without a policy. A set of guidelines/rules are required to govern. Policies provide those guidelines. A government can be made on the basis of putting blueprint of best possible policies before citizens while campaigning but it can be pulled up for not implementing its policies. Each sector or department has a policy document listing the intention or objectives of the government for a particular sector.

Check Your Progress

1. Define public policy.
2. What is a policy?
3. Mention the two kinds of policies.

1.4 ANSWER TO CHECK YOUR PROGRESS QUESTIONS

1. Public policy provides a framework in which the government actions are undertaken to achieve goals for common good.
2. Policy is a plan of action adopted by an individual or social group. Policy is made to address some sort of issue or problem that requires attention. It might take the form of law or regulation.
3. Policies are categorized into two; macro policies and specific policies. Macro policies provide framework within which specific policies are developed. They are implemented through specific policies. Specific policies are of specific objective defined, which are actionable in nature.

1.5 SUMMARY

- Public policy provides a framework in which the government actions are undertaken to achieve goals for common good. Public policy plays a pivotal

role for any government. Elected officials are voted into power by the citizen of a country to influence public policy.

- Public policy is one of the frequent concepts to discuss in all sphere of everyday life. Though public policy emerged in 1960s but it was present in different forms since the beginning of the human civilization.
- Initially, policy studies were dominated by political science researchers in which major focus was on institutional structure and philosophical justification of the government. In this period of time, the researchers were not given that much orientation towards policies themselves.
- For better understanding of the concept of public policy, it is important to understand the idea of ‘public’ and ‘policy’ separately. The word ‘public’ is found in a number of expressions of public policy such as public interest, public sector, public opinion, public health, public finance, public property and public law.
- According to Habermas, the public sphere, ‘made up of private people gathered together as a public and articulating the needs of society with the state.’
- Policy is a plan of action adopted by an individual or social group. Policy is made to address some sort of issue or problem that requires attention. It might take the form of law or regulation.
- The concept of public policy has always been there in any system of the government. The quantum of government’s work and engagement is growing day by day particularly in developing countries.
- The governments of the day play a crucial role in dealing with complex issues of nation building and other socio-economic activities.
- The sole focus in public policy lies on the issues and problems of the public. The main concern is how these issues and problems get identified and how they are placed on the political and policy agenda.
- Public policy is important in how our society is managed. It captures the intentions of the government. There is no imagination of governance without a policy. A set of guidelines/rules are required to govern. Policies provide those guidelines.

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1.6 KEY WORDS

- **Public sphere:** It is the realm of politics where people come together to engage in the exchange of ideas and thoughts, and it is open for everyone.
- **Public policy:** It is a means through which government maintains order or addresses the need of its citizens through actions defined by its constitution.

NOTES

1.7 SELF ASSESSMENT QUESTIONS AND EXERCISES

Short-Answer Questions

1. How do citizens influence public policy?
2. Why is good policy important?
3. Write a short note on the scope of public policy.
4. List the characteristics of public policy.

Long-Answer Questions

1. How can we define and understand policy?
2. Discuss the management of policies.
3. What is the significance of public policy?

1.8 FURTHER READINGS

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UNIT 2 TYPES OF POLICIES AND INSTITUTIONAL DEVELOPMENT

Types of Policies and Institutional Development

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- 2.3 Principles: Institutional and Organizational Development
- 2.4 Typology of Policy
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 - 2.4.5 Constituent
 - 2.4.6 Capitalization
- 2.5 Answers to Check Your Progress Questions
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2.0 INTRODUCTION

Institutions are very significant for ensuring sustainable and economic growth. Institutions are responsible for formulating policies, mobilizing and handling resources and also for development. Thus, institutions are the key drivers of the development process. There is a slight difference in the growth and development, growth does not want any intervention and largely an activity of private sector while development falls in public sector domain. Therefore, institutions play a crucial role in the process of development. These institutions formulate policies and with the help of other institutions implement those policies. The government makes different policies for different subjects such as defense, agriculture, housing, commerce and so on. They might have some sort of similarities but mostly distinguish from other subject areas. The public policies are made for the interest of larger goods. Different types of policies are formulated based on the theory of who gets benefits and who pays for it, who regulates and who control the management. There are various types of

policies such as distributive, redistributive, regulatory, substantive, constituent, capitalization and miscellaneous.

NOTES

2.1 OBJECTIVES

After going through this unit, you will be able to:

- Discuss the development of institutions
- Describe number of mechanism or constituents which play a key role in institutional development
- Describe typology of policies

2.2 INSTITUTIONAL DEVELOPMENT AND POLICY-MAKING

Since the beginning of human civilization there have been certain arrangements for governing or living their lives. These arrangements are simply referred to as institutions. These arrangements could be formal or informal arrangements. The existence of institutions is central to policy studies. Strong government institutions and civil society institutions make a strong government of the day. In fact, institutions shape our lives. All aspect of our lives are shaped and framed by the institutions. Institutions as explained by Knight (1992), ‘institutions are sets of “rules that structure social interactions in particular ways”, based on knowledge “shared by members of the relevant community or society.”’

Scharpf (2000) observed institutions as ‘set of factors affecting the interactions between policy actors and hence the greater or lesser capacity of policy-making systems to adopt and implement effective responses to policy problems’. He further describes that ‘in sociological institutionalism, institutions are defined very broadly so as to include not only externally imposed and sanctioned rules but also unquestioned routines and standard operating procedures and, more important, socially constructed and culturally taken-for-granted worldviews and shared normative notions of appropriateness’. However, institutions are the rules, norms, and customs which govern society.

There is a difference between institutions and organizations. Organizations are actors in society whereas institutions provide the framework in which the performance takes place. For example, schools for children within the framework of educational institution. But, at the same time, there is a considerable overlap between the two. Organizations can be institutionalized i.e., the World Bank or the United Nations. Organizations are actors which come together for a common purpose to achieve specific goals. It comprises political bodies such as political parties or parliament, economic bodies such as business firms, social bodies such as schools or religious places. Sometimes, people use the term organization and

institution interchangeably. There are certain characteristics of institutions which explain how this development is fruitful for policy. These characteristics are as follows:

- The origin of each and every institution has specific purpose and also has its objectives and explicit goals to fulfill social needs.
- They have permanence in their structural arrangements.
- A particular institution is a unified structure and its functioning is in a unit.
- Its very existence is value laden etc.

Institutional development in the name of ‘good governance’ occupies central stage in policy debate. There have been many occasions in world history when the importance of institutional structure got recognized. As mentioned by Kaufmann et al. (1999) and Aron (2000), the institutions which come under ‘good governance’ package and also considered ‘best practice’ institutions are— democracy, efficient bureaucracy, judiciary, strong protection of property (private) rights, good corporate governance institutions and well-developed financial institutions. These institutions have given separate meaning to human development.

2.2.1 Democracy

Democracy is a system of government where power is vested in the people and ruled by the people through elected representatives. Voting rights is one of the most important constituent of the system. When voting was introduced it was limited to some sections of the population, it was confined to property-owning males, educational achievements, or age. Different countries had different set of rules and conditions for granting the voting rights to the population. For example, in France, initially, voting rights were granted only to male aged above 30 years of age and those who were able to pay 300 francs in direct taxes, these limitations paved way for only 80,000 to 100,000 population out of 32 million. Later, there was some relaxation employed in franchise requirements but only 0.6 per cent of Frenchmen were allowed. In 1848, France introduced universal male suffrage that made path to enter in Now-Developed Country (NDC). Similar experience was shared in England where before the Reform Act of 1832, there was agreement that only landlords could decide 39 out of 40 county elections. After the reforms, the franchise extended from 14 per cent to 18 per cent of men. This limited voting right was also given to other countries such as Italy and others as well. Interestingly, most NDCs lately introduced universal male suffrage between the mid-nineteenth century and early twentieth century. There were small countries like Austria, Denmark, Netherland New Zealand, and Norway etc. that introduced universal suffrage in the second decades of twentieth century. Austria and New Zealand were the first countries to give women voting rights; however, Austria did not give franchise rights to non-whites until 1962. In the United States of America (USA), women were allowed to vote in 1920. There were many countries such as Germany, Italy, France, Belgium, and Finland where right to vote to women was given even

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after World War II. Notably, in the Swiss case, women suffrage was given about hundred years after male suffrage. The voting rights give strength to people that make the system powerful. India was among those countries which gave universal suffrage to everyone right after Independence.

2.2.2 Bureaucracy

Till the eighteenth century, public offices in most Now-Developed Countries (NDCs) there were open sales of public offices and honours. Interestingly, public offices were openly sold and bought and were formally regarded as private property in many countries. These were also known as the spoil systems and were given to loyalists of ruling party. During the nineteenth century, voices were raised to reform the civil service to create a professional and non-partisan bureaucracy. After the reform, the bureaucracies in the NDCs were modernized.

2.2.3 Judiciary

In the modern democracies, we have a politically independent judiciary. But, at the same time, there are some countries where there is a provision of elected judicial officials such as the United States and in the United Kingdom in the past. The independence of judiciary is one of the major constituents of quality judicial system. The other significant elements of a viable judiciary are professionalism and the quality of judgments. But, unfortunately, there are judicial systems in the world which suffer from excessive political influence and corruption.

2.2.4 Protection of Property Rights

Property rights cover a broad spectrum which comprises numerous constituents such as contract law, company law, bankruptcy law, inheritance law, tax law, and laws regulating land use etc. The protection of property rights and its involvement in economic development is a complex subject to study. A large section of experts believe that the strong protection of property rights is better for economic development. There are some who believe that protection of one's property rights is harmful for long-term investment and economy. Therefore, security of property rights cannot be considered good as well.

2.2.5 Corporate Governance

Corporate governance is a combination of mechanisms, processes, rules or laws and relations for operation, regulation and controlling of businesses. Corporate governance as a structure directs and manages a company. It comprises limited liability; bankruptcy law; audit, financial reporting, and information disclosures and competition law.

2.2.6 Financial Institutions

Financial institutions deal with financial and monetary transactions such as deposits, loans, investments and exchange of currencies. Financial institutions conduct broad business operations with banking, security regulation, and public finance institutions.

2.2.7 Social Welfare Institutions

Social welfare institutions started emerging in the last decades of the nineteenth century. Earlier these institutions were very poor. The extension of suffrage helped in the emergence of social welfare institutions. There is no direct relation of both but in many countries such as New Zealand and Germany this trend has been clearly observable.

Check Your Progress

1. What is the difference between institutions and organizations?
2. List the significant characteristics of an institution.
3. Define corporate governance.

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2.3 PRINCIPLES: INSTITUTIONAL AND ORGANIZATIONAL DEVELOPMENT

Let us go through the principles of institutional and organizational development.

Outcome: There should be focus on outcome. Policy outcomes are the result of considerable debate over inputs provided by institutions working for the same purpose. The concern should be, what are we trying to do and why? The focus on outcome leads to better and improved service delivery.

Timeframe: It is the responsibility of an institution to consider a timeframe when it goes for policy formulation. Every change takes time to be assimilated by the constituents of the society.

Context: The current social, political and cultural realities should be taken care of once institutional development begins. There is a need to understand different groups' incentives for any change or even to maintain status quo.

Participation: Participation deals with who do we work with?

As discussed above, institutions are the set of rules that structure development as they shape other aspects of social life. Institutional development could be defined in two forms; institutional development as intervention and institutional development as history. Institutional development as intervention refers to a process of intentionally and purposely in quest of established rules that promote development. The institutional development as history refers to the context in which the interventions are shaped. The process of economic development of a country is dependent on its social and economic institutions. These institutions provide conditions for development. The responsibility of these institutions are to encourage people to avail economic opportunities, lead to higher standard of living and also encourage them to work hard that result in economic development. In any circumstances, if these institutions do not perform well or discourage all that lead to hamper in development. Therefore, an appropriate and favorable atmosphere is needed to

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unfasten development. The role of these institutions in the process of economic development highlighted by A. K. Cairn-cross as ‘Development is not governed in any country by economic forces alone and the more backward the country, the more this is true. The key to development lies in men’s mind, in the institutions in which their thinking finds expression and the play of opportunity on ideas and institutions.’ Hence, rapid growth and development of any country largely depends on these institutions.

In the current scenario, there are other specific factors which have emerged and have helped in promoting development. Now, the concern is how these institutions operate and the effect of their operations on development. There are specific institutions which promote development, though they are often criticized.

- **The state:** The role of state has been a matter of debate in the second half of the twentieth century. There has been an idea floating over years that the state might hinder development but recently a new consensus developed about ‘facilitative state.’
- **The market:** The market is an important drive to perform development. Markets are socially created and are part of a broader institutional infrastructure. The market forces have always been at the centre of debate about institutional development.
- **Civil society:** The institutions of civil society whether they are non-governmental organizations or social movements play a very significant role in development. The civil society influences the policy through multiple ways such as pressure groups, NGOs, unions and so on.

2.4 TYPOLOGY OF POLICY

The government formulates a number of policies to run a country smoothly and also keep a country free from chaos. The government formulates policies for citizens, and at the same time, the citizens are supposed to follow certain rules and laws. It is difficult to put all the policies in one group. Hence, for better understanding of the policies they should be categorized. Different set of policies are offered to different constituents, for example, the policies for the government agencies are different from the policies for general citizens. Therefore, they are put in separate groups and here comes typology. There are various types of public policy:

2.4.1 Distributive

Distributive policies target specific sections of the society. They cover wide range of policies for the benefit of particular segments of the population. These policies engage in allocation of services to particular segments of society such as individuals, groups, communities and corporations. It also focuses on the larger goods such as public

welfare, education or health services, etc. A larger chunk of public funds are involved in assisting particular segments of the population. Distributive policy is also used to encourage certain activities such as subsidies for farmers to promote economic development, to promote housing industry write-offs of taxes of homeowners and provide easy loans to promote small scale industries and entrepreneurship. This type of policy includes all public assistance and welfare programmes. There are other examples of distributive policies such as adult education programme, food security, social insurance, scholarships for marginalized etc.

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2.4.2 Redistributive

Redistributive policies are about rearrangement of existing resources. These are deliberate efforts made by the government to reallocate wealth, income, property, or rights among the larger segments of the population. These policies are concerned in bringing basic socio-economic changes. These policies make strategies for reducing inequality and promoting development for all. The public goods and welfare services are not equally distributed so by the effort of these policies these disproportionately divided goods and welfare services are rationalized. The implementation of these policies is challenging because it involves reallocation of wealth and welfare services. The income tax policies is an example of re-distributive policy wherein the tax collected is reallocated for the benefit of the poor. The other examples of redistributive policies are social welfare policy, healthcare policy, social policy, civil right policy etc.

Social welfare policy: Social welfare is a broad arena which includes healthcare, empowerment, housing and other programmes made for the poor, marginalized and needy in the society. The social welfare policies are the assistance and social insurance benefits that are subsequently instruments of social protection and redistribution. These policies assist in protecting an individual or groups and community from any deprivation. The social welfare policies largely focus on promoting the general welfare of the population.

Social policies: Social policies provide solutions to address the needs of social life. The social problems of a particular state are different from others which are largely based on economic and environmental factors. Social issues keep changing with the passage of time. In the process of resolving these problems and offering solutions, a welfare state should provide some rights to the people. These rights are as follows:

- **Equality:** Achieving equality is the core component of the social policy. To achieve equality, it is necessary to redistribute or relocate resources between haves and have not's.
- **Equal opportunity:** Equal opportunity implies that equal groups should be treated equally. Everyone should be given equal opportunity irrespective of one's religion, class, caste, gender, or community.
- **Need:** Food, clothing and housing are basic needs and these should be fulfilled by the State.

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- **Rights and freedom:** In a democratic country, the Constitution grants some rights and freedom to inhabitants. Sometimes, they come under the category of fundamental rights. These rights include civil rights, social rights and political rights. The freedom of expression also comes under fundamental rights. The ultimate goal of social policies is to make sure that everyone in society lives in harmony and far from conflict.

2.4.3 Substantive

Substantive policies are meant for the general welfare and development of inhabitants of the society. The substantive policy includes provision for education and employment opportunities, enforcement of law and order, laws related to environment, efforts for economic stabilization, and so on. They cover wide range of operations and are concerned with general development and welfare of the society. These policies do not focus on any particular or privileged sections of the society. While formulating these policies essential parameters should be kept in mind by the policy makers. These parameters include the ethos of the Constitution and Directive Principles of State Policy, socio-economic problems, and moral claims of the society.

2.4.4 Regulatory

Regulatory policies are concerned with regulation and control of activities. The regulation comprises regulation of trade, business, public utilities and safety measures. Regulation is performed by independent organizations on behalf of the government. In India, the regulatory bodies are the Life Insurance Corporation (LIC), Reserve Bank of India (RBI), State Electricity Boards, State Transport Corporations, etc. There are certain organizations which perform regulatory as well as promotional activities and few examples of these organizations are the University Grants Commission (UGC), All India Council of Technical Education, and Central Board of Secondary Education etc.

2.4.5 Constituent

Constituent policies are concerned with the establishment of new institutions or reorganization of institutions for the welfare of the society. Through these policies, there is provision to develop new departments, internal distribution (funds), and also make rules for permanent executives (civil servants). Constituent policies mostly deal with laws.

2.4.6 Capitalization

Capitalization policies are not directly related to public welfare but are concerned with the financial subsidies given by the Centre to the State and local governments. These subsidies are also given to central and state business undertakings. Capitalization policies are different from other policies because these are

infrastructural and development policies for government and business organizations. Therefore, it does contribute to public welfare but indirectly.

*Types of Policies and
Institutional
Development*

Check Your Progress

4. What is the structural arrangement of an institution?
5. What are the specific institutions that promote development?
6. What are constituent policies?

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2.5 ANSWER TO CHECK YOUR PROGRESS QUESTIONS

1. There is a difference between institutions and organizations. Organizations are actors in society whereas institutions provide the framework in which the performance takes place. For example, schools for children within the framework of educational institution.
2. The significant characteristics of an institution are the following:
 - The origin of each and every institution has specific purpose and also has its objectives and explicit goals to fulfill social needs.
 - They have permanence in their structural arrangements.
 - A particular institution is a unified structure and its functioning is in a unit.
 - Its very existence is value laden etc.
3. Corporate governance is a combination of mechanisms, processes, rules or laws and relations for operation, regulation and controlling of businesses. Corporate governance as a structure directs and manages a company. It comprises limited liability; bankruptcy law; audit, financial reporting, and information disclosures and competition law.
4. The structural arrangement of an institution is permanent.
5. The specific institutions are the state, market and civil society.
6. Constituent policies are concerned with the establishment of new institutions or reorganization of institutions for the welfare of the society.

2.6 SUMMARY

- Since the beginning of human development there have been certain arrangements for governing or living their lives. These arrangements are simply referred to as institutions. These arrangements could be formal or informal arrangements.

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- There is a difference between institutions and organizations. Organizations are actors in society whereas institutions provide the framework in which the performance takes place. For example, schools for children within the framework of educational institution. But, at the same time, there is a considerable overlap between the two.
- Democracy is a system of government where power is vested in the people and ruled by the people through elected representatives. Voting rights is one of the most important constituent of the system.
- Till the eighteenth century, public offices in most Now-Developed Countries (NDCs) there were open sales of public offices and honours. Interestingly, public offices were openly sold and bought and were formally regarded as private property in many countries.
- In the modern democracies, we have a politically independent judiciary. But, at the same time, there are some countries where there is a provision of elected judicial officials such as the United States and in the United Kingdom in the past.
- Corporate governance is a combination of mechanisms, processes, rules or laws and relations for operation, regulation and controlling of businesses.
- In the current scenario, there are other specific factors which have emerged and have helped in promoting development. Now, the concern is how these institutions operate and the effect of their operations on development. There are specific institutions which promote development, though they are often criticized.
- The government formulates a number of policies to run a country smoothly and also keep a country free from chaos. The government formulates policies for citizens, and at the same time, the citizens are supposed to follow certain rules and laws. It is difficult to put all the policies in one group.
- Redistributive policies are about rearrangement of existing resources. This is a deliberate efforts made by the government to reallocate wealth, income, property, or rights among the larger segments of the population. These policies are concerned in bringing basic socio-economic changes.
- Substantive policies are meant for the general welfare and development of inhabitants of the society. The substantive policy includes provision for education and employment opportunities, enforcement of law and order, laws related to environment, efforts for economic stabilization, and so on.
- Capitalization policies are not directly related to public welfare but are concerned with the financial subsidies given by the Centre to the State and local governments. These subsidies are also given to central and state business undertakings.

2.7 KEY WORDS

- **Social welfare:** It refers to assistance programme designed for the well-being of citizens of a country.
- **Private property:** It is the property owned by private partners.
- **Development:** It is a process that brings progress and positive change in the society.

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2.8 SELF ASSESSMENT QUESTIONS AND EXERCISES

Short-Answer Questions

1. Write a short note on the significance of institutional development.
2. Define bureaucracy in your own words.
3. What is the main objective of social welfare institutions?

Long-Answer Questions

1. Discuss the principles of institutional and organizational development.
2. Explain the typology of policy.
3. How does institutional development contribute to the policy-making process?

2.9 FURTHER READINGS

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UNIT 3 MEANING, NATURE AND UTILITY OF POLICY SCIENCES

Structure

- 3.0 Introduction
- 3.1 Objectives
- 3.2 Concept of Policy Science
 - 3.2.1 Defining Characteristics of Policy Sciences
 - 3.2.2 Phases of Policy Processes
- 3.3 Features of Policy Sciences
- 3.4 Paradigm of Policy Science
- 3.5 Policy Sciences: Nature, Scope and Utility
- 3.6 Answers to Check Your Progress Questions
- 3.7 Summary
- 3.8 Key Words
- 3.9 Self Assessment Questions and Exercises
- 3.10 Further Readings

3.0 INTRODUCTION

Policy science is one of the recent areas of study which has got immense attention from researchers and social scientists. The study of public policy grew out of the approach called policy science. The policy sciences focus on the precise application of the sciences to issues affecting governance and government. The study focuses on the policy-making and its improvement. It may be considered as knowledge of the policy process and the relevance in the policy process. The study of public policy has evolved into practically a new branch of social science, i.e., policy science. According to Brooks, 'policy science is the most recent, and certainly the most explicit manifestation of this quest for an independent vantage point, above the political fray, affording objective criteria upon which policy decisions can be made.'

3.1 OBJECTIVES

After going through this unit, you will be able to:

- Discuss the concept of policy sciences
- Examine the nature, scope and utility of policy sciences
- List the features of policy sciences

3.2 CONCEPT OF POLICY SCIENCE

The concept of policy sciences was first devised by Harold Lasswell, leading American political scientist. He observed the significant development and change that had taken place in the society between the two World Wars. He also observed the development in the large scale organizations and governments. By the time, economics made an enormous impact in the policy-making. Being an observer of political development, Laswell emphasized on certain points in the context of policy sciences to chart out the content and directions.

1. An enlarged information base had to play a crucial role;
2. Greater facilities had to be created for communication between researchers, policy advisers, and decision-makers; policy sciences were to be cultivated not by social scientists alone, but were to be evolved in co-operation with practitioners of policy;
3. A mode of thinking had to be cultivated which could consider the past and the future as sectors of a single continuum. Special emphasis was placed upon the utilization of speculative models – developmental constructs – which would specify the shifts in institutional patterns over time. Rejecting the possibility of certitude regarding future events developmental constructs were visualized as tool that assisted in goal clarification, trend analysis, and in estimating the future. A central feature of the policy sciences orientation was this special understanding of the time factor;
4. A need was expressed for making explicit the relationship between policy and values. In Laswell’s words: ‘No sooner do you become interested in future goals than you look sharply into the present and the past in order to discover the degrees to which trends approximate values. Trends are extrapolated into the future, and the plausibility of the extrapolation is estimated in the light of all available knowledge of trends and factors.’ Similar analysis was to be applied for estimates of alternative lines of policy. This was a prescription for explicitness of value preferences, all the more notable because it came at the time when value-neutrality was in vogue.

Laswell’s contribution in the field of policy sciences was not taken seriously in terms of developing the field of study even after coining the term nearly a quarter century. An effort has been made on operationalising the field but the result was not noteworthy. Recent writing on policy sciences is marked by an obsession with this method.

3.2.1 Defining Characteristics of Policy Sciences

Policy sciences approach has three defining characteristics explained in the writings of Michael Moran and others:

1. The policy sciences are explicitly *problem oriented*, quite consciously addressing public policy problems and recommendations for their relief,

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while openly rejecting the study of a phenomenon for its own sake; the societal or political question of ‘so what?’ has always been at the heart of the policy sciences’ approach. Likewise, policy problems are seen to occur in a specific context, a context that must be carefully considered in terms of both the analysis and subsequent recommendations.

2. The policy sciences are distinctively *multidisciplinary* in their intellectual and practical approaches. The reasoning is straightforward; almost every social or political problem has multiple components that are tied to the various academic disciplines without falling clearly into anyone discipline’s exclusive domain. Therefore, to gain a complete appreciation of the phenomenon, many relevant orientations must be utilized and integrated.
3. The policy sciences’ approach is consciously and explicitly *value oriented*; in many cases, the central theme deals with the democratic ethos and human dignity¹. This value orientation, Wrst argued during the emphasis on behavioralism, i.e. ‘objectivism,’ in the social sciences, recognizes that neither social problem nor methodological approach is value free. As such, to understand a problem, one must acknowledge its value components. Similarly, no policy scientist is without her or his own values, which also must be recognized, if not resolved, as Amy (1984) has discussed². This realization will later surface at the heart of the post positivist orientation.

During 1960s, policy sciences moved from academic arena to political offices (federal level). Many governments set-up policy analysis branch. Public offices had started thinking on the information on which policies and decisions were based. Therefore, the public policy approach and applications got a widespread acceptance. The universities in West offered program in public affairs to train policy analysts.

3.2.2 Phases of Policy Processes

There is a clear distinction between the analysis of the decision process and the knowledge in the process. Both aspects are important but decision process provides structural orientation for the discipline.

The phases of policy process are the following:

- (i) Invention/initiation
- (ii) Estimation
- (iii) Selection
- (iv) Implementation
- (v) Evaluation
- (vi) Termination

Invention/initiation, the very first phase in the process, begins when a given problem is actually identified. Once a problem is clearly identified, many possible means are explored to resolve the same. Invention is basically reconceptualizing

the problem and coming up with the best possible solutions. Estimation refers to predetermining risks, cost and benefits of the proposed solutions that come out from the invention/initiation. Estimation proposes a plausible policy solution. Selection is someone or a few must decide on the invented and estimated solutions; it is a responsibility of the decision-makers. Implementation refers to executing a selected solution. For better performance of government policies and programmes, understanding the implementation mechanism is very important. Evaluation, the previous phases were looking forward, such as, invention and estimation are preventive, and selection focused on the present, whereas this phase is backward-looking in practice. This phase comes up with several enquiries, such as what policies were successful or failure? How can the performance be measured? Who is doing assessment and what are his purposes? Good evaluation is essential for bringing next phase on the table. Termination, the final phase focuses on the adjustment of policies that have become dysfunctional, unnecessary, old-fashioned, and so on. It is not a well-developed phase but in the current scenario it is required. By going through these phases, a policy formed.

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3.3 FEATURES OF POLICY SCIENCES

The main features of policy sciences can be tentatively summarized as follows:

1. Policy sciences are interdisciplinary in nature, focusing on public policy-making.
2. Policy sciences are based on behavioural sciences and analytical approaches, relying also on decision theory, general systems theory, management sciences, conflict theory, strategic analysis, systems engineering, and similar modern areas of study. Physical and life sciences are also relied upon, insofar as they are relevant.
3. Combining pure and applied research, policy sciences are mainly concerned with improving policy-making on the basis of systematic knowledge and structural rationality.
4. Policy sciences, as with all applied scientific knowledge, are, in principle, instrumental-normative in the sense of being concerned with means and intermediate goals rather than absolute values. But policy sciences are sensitive to the difficulties of achieving 'value-free sciences' and try to contribute to value choice by exploring value implications, value consistencies, value costs, and the behavioural foundations of value commitments.
5. Policy sciences emphasize meta-policies (that is, policies on policies), including modes of policy-making, policy analysis, policy-making systems, and policies strategies.

An effective and efficient policy helps in achieving considered goals which is also a test for policy sciences. Policy sciences also provide improved method and

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knowledge to achieve goals. Policy sciences have many constituent elements, such as policy analysis, which provides heuristic methods for identifications of preferable policy alternatives; policy strategies, which provides guidelines for specific policies, and feedback and evaluation.

3.4 PARADIGM OF POLICY SCIENCE

According to Yehezkel Dror, Professor Emeritus of political science at Hebrew University, Jerusalem, the main paradigmatic innovations to be required and expected from policy sciences can be summed up as follows:

1. The major concern of policy sciences deals with understanding and improvement of policy-making systems. Policy science also focuses on other important aspects in addition to improvement-oriented study such as, policy analysis, which provides heuristic methods for identification of preferable policy alternatives; alternative innovation, which focuses on the invention of new designs and possibilities to be taken into consideration in policy making; master policies, which gives a soul to the policy includes, guidelines, assumptions, strategies to be followed in policy-making; evaluation and feedback; and improvement of the policy-making structure through redesigning of its organizational components, selection and training of its personnel, and look after its information network. Better achievement of proposed goal is the main test for policy science in effect of more effective and efficient policies.
2. Policy science is breakdown of traditional boundaries between various social sciences and decision disciplines. Policy sciences must integrate knowledge from a variety of branches and translate it into public policy-making. Policy science also includes elements from general system theory, decision theory, organization theory, operation research and other areas of study.
3. It works as bridging between pure and applied research. It is only achieved by acceptance of the improvement of policy-making and its ultimate goal.
4. It also allows acceptance of implicit knowledge and personal experience as important source of knowledge along with the traditional methods of study.
5. Policy sciences denote present as bridging between past and future. It emphasizes historic developments on one hand and future dimension on the other hand in the centrality of policy-making.
6. It is committed to determining more utilization of policy sciences in actual policy-making and training of professionals to serve in policy sciences positions throughout the policy-making process.
7. Policy sciences deal with the contribution of systematic knowledge and structured rationality to the design and operation of the decision-making process.

3.5 POLICY SCIENCES: NATURE, SCOPE AND UTILITY

Harold Lasswell made first systematic effort to study a new field to deal with social problems. In his work of 1948, Laswell said that sciences are policy sciences when they clarify the process of policy-making in society or apply data needed for the making of rational judgments on policy questions.

The field of policy sciences is still considered as very new field of study, however, identified quite early. There is no real consensus among scientists on what should be the exact content and method of policy sciences. The uncertain state of the emerging discipline perhaps because the policy scientists themselves have not yet evolved a clear, respectable role in the policy-making apparatus. V. Subramaniam characterizes policy sciences as ‘the practical application of all relevant knowledge in the social, physical and natural sciences, to specific policy problems identified well ahead of time’. The rationalist model involves a ‘commitment to scientific planning’. This means a new orientation in decision-making. Therefore, a policy analysis culture is created in order to achieve greater rationality in formulation of policy. This policy analysis culture has three main features as found in Dror’s writings:

- (i) Technical experts who are sensitive to the ethical implications of decisions
- (ii) Close cooperation between researchers in government
- (iii) An informed citizenry to fend off the anti-democratic spectre of an expert ruling class.

In the field of policy sciences, from Lasswell to Dror, the central idea in policy science is that it requires a ‘theory of choice’, an approach to the determination of policy choice. As Stuart Nagel adds, ‘as social science does more analysis of hypothesis, predictions, causation, and optimizing, there develops a body of potential premises that can be used in deducing conclusions, just as chemistry was able to deduce the existence of new elements before they were empirically discovered.’ Several literature of teaching of policy studies, and the training of policy analysts disclose the fact that policy sciences are a scientific approach that provides immense contribution in producing professional analysts who would have expertise in rational decision-making. The emphasis in training is in centrality of Nagel’s principles of optimization of decision theory. He further advocates the development of a code of ethics, professionalism, and institutionalized checks. Laswell refers the inclusion of methods by which the policy process is investigated. Dror and other experts in policy studies are in agreement that the policy science as an interdisciplinary approach, is concerned mainly with improving the policy process through the use of systematic knowledge, structural rationality, and organized activity. Dror emphasizes that the policy sciences are ‘not directly concerned with the substantive contents of discrete policy problems but rather with improved methods of knowledge, and systems for better policy-making’.

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Laswell also adds in similar way that ‘knowledge of the decision process implies systematic and empirical studies of how policies are made and put into effect’. There is an agreement among policy scientists about the basic aim of policy sciences but failed to give an operational definition of the concept. This happens due to the cross-disciplinary nature of knowledge involved in the formulation, implementation and evaluation of policy issues.

Like other social sciences, policy science is also not an exact science because substantive science is concerned with the pursuit of truth which it seeks to understand and predict. Policy science is a technique which helps decision-maker to take decisions with improved methods of knowledge. According to Carol Weiss, policy science as a decision-driven model of research and has the following stages:

- (i) Definition of social problems
- (ii) Identification of missing knowledge
- (iii) Acquisition of the relevant data using social research techniques
- (iv) Interpretation for problem solution, and
- (v) Policy choice

Check Your Progress

1. What is the first phase of the policy process?
2. List any two features of policy science.
3. What is the real test of policy sciences?

3.6 ANSWER TO CHECK YOUR PROGRESS QUESTIONS

1. Invention/initiation, the very first phase in the process, begins when a given problem is actually identified.
2. Two features of policy science are the following:
 - (i) Policy sciences are interdisciplinary in nature, focusing on public policy-making.
 - (ii) Policy sciences are based on behavioural sciences and analytical approaches, relying also on decision theory, general systems theory, management sciences, conflict theory, strategic analysis, systems engineering, and similar modern areas of study. Physical and life sciences are also relied upon, insofar as they are relevant.
3. Better achievement of proposed goal is the main test for policy science in effect of more effective and efficient policies.

3.7 SUMMARY

- The concept of policy sciences was first devised by Harold Lasswell, leading American political scientist. He observed the significant development and change that had taken place in the society between the two World Wars.
- Laswell's contribution in the field of policy sciences was not taken seriously in terms of developing the field of study even after coining the term nearly a quarter century. An effort has been made on operationalising the field but the result was not noteworthy.
- There is a clear distinction between the analysis of the decision process and the knowledge in the process. Both aspects are important but decision process provides structural orientation for the discipline.
- Invention/initiation, the very first phase in the process, begins when a given problem is actually identified. Once a problem is clearly identified, many possible means are explored to resolve the same.
- An effective and efficient policy helps in achieving considered goals which is also a test for policy sciences. Policy sciences also provide improved method and knowledge to achieve goals.
- Policy science is breakdown of traditional boundaries between various social sciences and decision disciplines. Policy sciences must integrate knowledge from a variety of branches and translate it into public policy-making.
- Harold Lasswell made first systematic effort to study a new field to deal with social problems. In his work of 1948, Laswell said that sciences are policy sciences when they clarify the process of policy-making in society or apply data needed for the making of rational judgments on policy questions.
- In the field of policy sciences, from Lasswell to Dror, the central idea in policy science is that it requires a 'theory of choice', an approach to the determination of policy choice.
- Like other social sciences, policy science is also not an exact science because substantive science is concerned with the pursuit of truth which it seeks to understand and predict. Policy science is a technique which helps decision-maker to take decisions with improved methods of knowledge.

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3.8 KEY WORDS

- **Paradigm:** It is a broad theoretical framework or perspective about phenomena that guides research.
- **Normative:** It is generally relate to rule, or making people obey rules, especially rules of behaviour.

- **Empirical:** It refers to collection of data/facts based on inductive methods of enquiry.

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3.9 SELF ASSESSMENT QUESTIONS AND EXERCISES

Short-Answer Questions

1. How is policy science related to social science?
2. What are the stages of policy science as the decision-driven model?
3. Which elements make policy science approach distinct from traditional approach?

Long-Answer Questions

1. What are the defining features of policy sciences?
2. Discuss Harold Lasswell's contribution to policy sciences.
3. Explain the paradigmatic innovations of policy sciences.

3.10 FURTHER READINGS

Moran, M, Martin Rein, and Robert E. Goodin. 2006. *The Oxford Handbook of Public Policy*. Oxford: Oxford University Press.

Anderson, J. E. 2003. *Public Policy-Making: An Introduction*. Boston: Houghton Mifflin.

Sapru, R K. 2011. *Public Policy*. New Delhi: Sterling Publishers Pvt Ltd.

Dye, Thomas R. 2014. *Understanding Public Policy*. Florida: Prentice Hall Publishers.

Endnotes

1. H. D. Lasswell and Abraham Kaplan (1950, pp. xii, xxiv) dedicate the policy sciences to provide the “intelligence pertinent to the integration of values realized by and embodies in interpersonal relations,” which “prizes not the glory of a depersonalized state of the efficiency of a social mechanism, but human dignity and the realization of human capabilities.”
2. A moment should be set aside to distinguish “policy analysis” (and the policy analyst) from the “policy sciences” (and its analogous policy scientist). Many (e.g. Radin 2000; Dunn 1981; Heineman et al. 2002) prefer the former. DeLeon (1988, 9; emphasis added) indicated that “Policy analysis

is the most noted derivative and application of the tools and methodologies of the policy sciences' approach . . . [As such], policy analysis is generally considered a more discrete genus under the broader umbrella of the policy sciences phylum." For the purposes of this chapter, they are largely interchangeable. Fischer (2003, na. 1 and 4, pp. 1 and 3, respectively) is in agreement with deLeon in this usage.

*Meaning, Nature and
Utility of Policy Sciences*

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BLOCK - II
MODELS FOR POLICY ANALYSIS

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**UNIT 4 MEANING, ISSUES AND
EVOLUTION OF POLICY
ANALYSIS**

Structure

- 4.0 Introduction
- 4.1 Objectives
- 4.2 Concept: Policy Analysis
- 4.3 How to Conduct Policy Analysis
- 4.4 The Role of Research in Policy Analysis
- 4.5 Approaches to Policy Analysis
- 4.6 Forms of Policy Analysis
- 4.7 Evolution of Policy Analysis
- 4.8 Answers to Check Your Progress Questions
- 4.9 Summary
- 4.10 Key Words
- 4.11 Self Assessment Questions and Exercises
- 4.12 Further Readings

4.0 INTRODUCTION

The post-World War II brought a new dimension to studying and analysing politics and political issues and events. The decision-making approach as an alternative method had been introduced to the study of politics that expanded the scope of study and also shifted the focus from government and political institution to decision-making processes that helped in shaping the behaviour of government and political institutions. Therefore, a separate field of study in political science was set-up known as the public policy analysis. Policy analysis is a process of analysing an issue or problem and provides a reliable and relevant solution for decision-makers for a proposed problem.

4.1 OBJECTIVES

After going through this unit, you will be able to:

- Interpret the utility of analysis in understanding of public policy
- Describe different forms of policy analysis

- Examine the role of research in policy analysis
- Describe the approaches to policy analysis

4.2 CONCEPT: POLICY ANALYSIS

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Policy analysis is about generating detailed knowledge about proposed or actual policies. According to Shafritz (1986), policy analysis is a set of techniques that seeks to answer the question of what the probable effect of a policy will be before it actually occurs. George Kent refers to policy analysis as a systematic, analytical and creative study whose primary purpose is to produce well-supported recommendations for actions in dealing with creative political problems. Policy analysis is an enquiry for policy-makers to come up with a reasonable action plan for proposed or actual policies. According to Chandler and Plano (1988), policy analysis as ‘an attempt to measure organizational effectiveness through an examination and evaluation of the qualitative impact of an agency’s programme; a systematic and data-based alternative to initiate judgments about the effects of policy or policy option; it is used (i) for problem assessment and monitoring, (ii) as a “before-the-fact” decision tool, and (iii) evaluation.’ Therefore, policy analysis is the study of the formulation, implementation and evaluation of the policy.

Until the 1980s, few were actually engaged with policy analysis on the professional front and the position was labelled as policy analyst. Over the decades, policy analysis has emerged as an established profession and provided an opportunity to the policy professionals. Policy analyst positions are very common in government agencies. Policy analysis is about providing or suggesting a solution to address an issue or a problem faced by the government. To Rose, public policy analysis is about answering the question of ‘what should we do’ when government is facing a problem. The new field of study suggests the policy analysts about conducting an analysis of the problem and proposes solutions to resolve the problem.

Methodology of Policy inquiry

The methodology of policy inquiry deals with the critical investigation of the proposed solution of the problem. Abraham Kaplan observed that ‘the aim of methodology is to help understand and question, not only the products of policy inquiry, but the processes employed to create these products.’ The methodology of policy inquiry is diverse in its action, the analysts are free to choose among a range of methods such as qualitative as well as quantitative and philosophies of science for the creation of reliable knowledge.

4.3 HOW TO CONDUCT POLICY ANALYSIS

The policy analysts within their limited resources and time conduct research and come up with reliable and relevant solutions. The professionals and analysts propose

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the solutions but lack of engagement with communities somehow affect the analysis. Therefore, the government officials fail to make comprehensive analysis of consequences of a proposed policy on important issues of poor, women, children, and workers. Mata'afa Desmond U. Aмоса proposed a five-step model of policy analysis.

Step 1: Define the problem – what is the problem?

Defining the problem is first and primary step in the existing policy analysis models. To achieve a defined goal, problem has always been a hurdle in the way to accomplish the target. Therefore, clear understanding of the problem is necessary. This understanding gives a clear direction to the policy analysts to achieve it. The identified problem suggests analysts' ideas about the legality, technicality of the possible solution. It is not a simple task to define problem. Defining a problem is a time taken exercise particularly when it comes to complex problem. Everyone has his/her understanding of the problem so before reaching any conclusion one has to consult each and every aspects of the proposed solution. If the analysis is based on one individual it has its own limitation that turns into a major weakness of the process. Poor problem definition leads to a weak analysis that results in a wrong solution.

Step 2: Generate alternative solutions

The second step of the model is to generate alternative solutions that have the potential to solve the defined problem. In this step, one is concerned about generating alternatives. The question is how to generate alternatives?

In this process, it is important to find as many alternatives as possible. To initiate this process, the most important step is to consult stakeholders and the communities that are affected by the problem. Those who are facing the problem would have a good idea to resolve the issue. Their suggestion would help the analysts to find the best possible way to go about the solution. One of the drawbacks of the step is biasness. Those who are involved in the analysis have their own preferences in choosing alternatives. Sometimes, they are pressurized by the actors, stakeholders and influential personalities. Thus, they come up with a less reliable alternative.

There are number of factors that need special attention while generating alternatives. It is important to have a good idea of the proposed alternatives and how these alternatives resolve the problem. The analysts have adequate time to examine each and every aspect. One way to go close the best possible alternatives is to find the strong and realistic connection between the proposed alternative and the problem on hand. A comparative study helps a lot in this process. If the same or similar alternative was applied anywhere in the world in the past and if worked well then it can be adopted. A good research team helps a lot in comparing the best alternatives.

Step 3: Projecting the outcomes

After identification of the alternative, the next step is to predict the outcome of each alternative. The outcome could be negative or positive. This step requires a comprehensive and deeper analysis of the proposed alternatives and the outcome that analysts want to achieve. This is one of the most important steps because success and failure of a solution somehow depends on the expected outcome. The forecasting of outcome is a challenging task because the analysts are looking at the future. Prediction of the outcome deals with the future, however, it comes up with several questions:

- If we put this alternative into effect, what would be the likely outcomes?
- Is it the outcome we are looking for?
- Who benefits from this outcome?
- Who is going to be worse off from this outcome?
- What could be other outcomes (unexpected outcomes)?
- Would these be good or bad outcomes?

To answer these questions, the analysts have to make effort to forecast outcomes. Cooper suggests that ‘analysts should create a movie in their minds visualizing the connection between the proposed alternative and the expected outcome.’ There should be a visual of the outcome of the proposed alternative on the target population who will be affected by the proposed alternative. The analyst should write the best or worst scenarios of the outcomes of each alternative. The analyst should predict the outcomes of each alternative from the beneficiaries’ perspective. They should keep themselves in the place of the target population. There are risks associated with each proposed alternative but are hardly discussed in this step. A good and realistic imagination is required to achieve the expected outcomes.

Step: 4 Evaluating alternatives

Evaluating alternatives is about testing the feasibility and acceptability of each alternative. This is an important step to process a proposed alternative. For instance, an alternative might produce all the desired outcomes that the policy-analysts are looking for but it might not be acceptable before the superiors. Sometimes, an alternative that has all the merits but fails to impress the superior because of internal conflict or there is no money to fund the proposed alternative. This step also determines whether the desired outcome ‘is feasible, reliable’ and good for everyone.

The proposed alternative might be good for policy-makers but not for the stakeholders or for those who are at the receiving end in that way it is a challenging step.

Step: 5 Make a decision

This is the final stage of the process. Selecting the best possible alternative could be comparatively an easier step if the analysis followed the previous steps. Step 3

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suggests forecasting the outcomes of an alternative and step 4 talks about the feasibility and acceptability. There is a possibility that an option might have more likes in step 3 but fail to collect similar responses in step 4. The analysts would have to make a final call on which option is the most feasible one. The safest choice to make is to take an option that holds the balance between step 3 and step 4. Sometimes, it is easy to make decision but sometimes it is hard because of something wrong somewhere in the process. When there is confusion in making the decision, the best way to handle such confusion is to go through the exercise again and again.

4.4 THE ROLE OF RESEARCH IN POLICY ANALYSIS

Doing research is one of the significant components of policy analysis. The research adds value to the analysis by carrying existing knowledge and evidence to the analysis. As Paul described, ‘...empirical analysis and systematic theory in policy development should increase our understanding of the ways existing policies have come to be, the effects they have, and the likely consequences of alternative policies’. The research plays a significant role in the process. When the analysts engage in the research, some fundamental questions arise such as what evidence do we need and how do we collect it? According to Bardach, research serves three main objectives. First, it aims at generating evidence that measures the magnitude of the problem. How bad is this problem? Is it really a problem? Is it worth the attention and resources?

As we have seen in step 1, it is the analysts who actually prove what is the genuine problem that needs attention. In this process, evidence is needed to be used to prove that it is in fact a problem. The second use of research is to provide evidence of policies used in the past to solve the same or similar problem. It is natural for the problem to repeat itself. The third use of research is to produce relevant and reliable evidence to justify the proposed solution to the policy problem. In doing so, the analysts have to provide an evidence to prove that the proposed solution was successfully applied in some countries in the past. The aim of this exercise is to build faith among stakeholders about the success of proposed solution. The past experience of application of proposed solution anywhere in the world gives a confidence to the analysts. In doing research, if they find some kind of loopholes in the proposed solution applied somewhere in the world, they would have opportunity to correct the shortcomings. The three main objectives of doing research should give the analysts some ideas of what evidence should be collected. It is also said as the analysis needs evidence to:

- (i) Determine the magnitude of the problem;
- (ii) Generate knowledge of previous policies dealing with the same problem;
- (iii) Convince the client that the proposed solution will work.

The analysts need to focus on the other important question such as – how do we get this evidence? To address this question, available resources and the location of the sources of the evidence are considered.

4.5 APPROACHES TO POLICY ANALYSIS

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There are five basic approaches to policy analysis:

- (i) Formal cost-benefit analysis
- (ii) Qualitative cost-benefit analysis
- (iii) Modified cost-benefit analysis
- (iv) Cost-effectiveness analysis
- (v) Multi-goal policy analysis

Formal cost-benefit analysis approach is used if efficiency is the main goal. This analysis reduces all the impacts of a proposed policy. Qualitative cost-benefit analysis is like the monetary cost-benefit analysis in terms of looking at potential impacts of policy modifications or new policies. But it differs from monetary cost-benefit analysis in considering values to qualitative factors such as ethics and political acceptability. Modified cost-benefit analysis approach engages scoring qualitative and monetary goals separately because both variables exist on different plains. Cost effectiveness analysis approach is defined in two ways; fixed budget approach and fixed effectiveness approach. This approach assists the analysts in determining which policy alternative will be most efficient in achieving a given goal once decision has been taken to try and achieve that goal. Multi-goal policy analysis is the most commonly used approach in policy analysis. It is designed to deal with situations in which there are multiple possible policy goals. Multi-goal policy analysis has five steps:

- (i) Selecting impact categories for the relevant goals
- (ii) Generating a clear set of policy alternatives in the case of policy options analysis or laying out the goals for the existing policy in the case of policy analysis.
- (iii) Predicting the impact that a modification of the policy would have in terms of achieving the relevant goals (for policy analysis) or predicting the impact that each policy alternative would have in terms of achieving the relevant goals in the case of policy options analysis.
- (iv) Valuing the predicted impacts (quantitatively, qualitatively and/or monetarily) or modification to the existing policy (policy analysis) or of different policy options (policy options analysis).
- (v) Evaluating the suggested policy modification (policy analysis) or the policy alternatives (policy options analysis) against the weighted goals and making a determination as to the best policy alternative.

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4.6 FORMS OF POLICY ANALYSIS

Let us briefly go through the forms of policy analysis.

1. **Prospective and Retrospective analysis:** Prospective policy analysis refers to the production and transformation of knowledge before prescriptions are made. According to Walter Williams, ‘the prospective form of analysis is policy analysis.’ He further describes, policy analysis is a means of analysing knowledge ‘to draw from it policy alternatives and preferences stated in comparable, predicted quantitative and qualitative terms . . . it does not include the gathering of knowledge.’ Prospective analysis also fills the gap between choice of preferred solutions and attempts to implement the policies. Retrospective analysis refers to a potential solution. This form of analysis involves the production and transformation of knowledge after policy has been implemented.
2. **Descriptive and Normative analysis:** According to Bower, descriptive policy analysis refers to a set of logically consistent propositions that describe or explain action. Descriptive policy analysis is parallel to descriptive decision theory. The main function of these theories and frameworks is to explain, understand, and predict policies by identifying patterns of causality, also known as causal mechanism. Normative policy analysis is parallel to normative decision theory, which refers to a set of logically consistent propositions that evaluate or prescribe action.

4.7 EVOLUTION OF POLICY ANALYSIS

There are different views on the origin and evolution of policy analysis among scholars and social scientists. Most of the textbooks traced its evolution back in post-World War II. As Walt and Gibson (1994) refers policy analysis and its origin, ‘Policy analysis draws on concepts from a number of disciplines: economics, political science, sociology, public administration and history, and emerged as a subdiscipline in the 1960s, mainly in the United States.’ The intellect inputs of policy analysis might be found in writings of Harold Laski (1940) and Tony Downs (1960). The different constituents and phases of policy analysis derived from long tradition with different name and notion.

After WWII, the policy analysis got significant attention as analytical approach to social problems was incorporated in the policy processes. The public policy as a field of study was founded in 1951 by Harold Laswell. His text ‘The Policy Orientation’ was published in an edited volume with editors he himself and Lerner in the book titled *The Policy Science: Recent Developments in Scope and Method*. In this newly developed text, he argued that this new field of study was to be practical but also normative that developed further in an interdisciplinary

field of study. Therefore, the particular field of study adopts the methods of other social sciences such as Political Science, Public Administration, Economics, History, and Psychology etc.

Laswell did not stop here. He further developed another text in 1956 where he studied the public process i.e., explored different stages through which the process unfold as in agenda-setting, formulation, implementation and evaluation. In 1960s, numerous social programmes were introduced such as housing, employment, community planning, welfare schemes in urban areas which created a strong demand for systematic policy evaluation. In this context, there was a need of in-depth study in the field of public policy. Thus, there were many studies which came in the public domain such as the work of Suchman in 1967 titled *Evaluative research: Principles and Practice in Public Service and Social Action Programmes*, Mishan's *Cost-Benefit Analysis* (1971), Weiss's *Evaluative Research: Methods of Accessing Program Effectiveness* (1972) and so on. During 1970s, such kinds of in-depth study of policy analysis developed. In the next two decades, other in-depth and influential works developed which gave new direction to policy analysis. In this category, the work of Dunn in 1981 titled *Public Policy Analysis*, Patton's *Practical Evaluation* (1982), Jone's *Agenda and Instability in American Politics* (1993), and Sabatier and Jenkin-Smith's *Policy Change and Learning: an Advocacy Coalition Framework* (1993) and so on, these works paved the way for effective and efficient policy analysis. In the next phase, the attention was in attaining social gains as rational choice approach got adopted.

The 1970s and 1980s witnessed the struggle of policy scientists to expand the scope of policy sciences and also the socio-political events of the time. In that particular period, the policy scientists addressed the topics such as evaluation, utilization, termination and implementation. During the early 1970s, the policy scientists focused on the very concept of evaluation. The newly focused area helped in improving policy-making process. The utilization was another area which explored in the same period. The focus on implementation gave a new direction to the policy-making processes. As R. B. Jain describes the making and implementation aspects of the policy and he upholds 'In a country like India, the two major areas which appear to call for urgent attention in the field of public policy-making are: (1) improvement in the acquisition and integration of knowledge and information, and (2) development of personnel involved in policy-making.'

Issues of pub policy analysis

The intention of good governance gets fulfilled only when an integrated long-term strategy can be built upon cooperation between the government and public. This cooperation and trust could be achieved through policy which includes all stakeholders and intention is to benefit all along with proper implementation of policies on the ground. Therefore, the process of policy formulation and implementation become so significant.

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There are many actors involved in the policy-making process such as legislature, executive, judiciary, cabinet, boards and commissions, media, political parties, pressure group and citizens. The process is a complex one so it is necessary to examine the role of these actors in the formulation of policies. The issues prevalent in the process of policy-making are as follows:

Fragmentation of ideas and action

This is one of the main issues in policy formulation because of complex structure. This complex fragmentation fails to recognize the policy actions in one sector and its implications on another sector and also sometimes it goes as counter and clashes with the policies of the other sectors. This kind of atmosphere makes it very difficult for the related sectors to align their policies as per the common agenda. The tussle could be seen among actors as well. The difference in ideas and actions make the public sufferer.

Excessive overlapping between policy formulation and implementation

The other issue is overlapping between policy making and policy implementation. Policy formulation and its implementation occur at different administrative levels, for instance, in India the process of policy-making takes place at the level of Director and above; but the fact of the matter is the most important level is that of the Secretaries in the government who are actually Ministers' 'policy, advisor-in-chief'. The working style of bureaucracy does not allow the Secretaries to focus more on citizens' grievances rather on routine day-to-day administration. The existing policy suffers on point of view of citizens. The time is spent on answering the parliamentary questions, attending meetings and functions on implementation issues etc.

Lack of inputs from outside government and informed debate

Generally, the policies are made without adequate input from outside government and also it lacks adequate debate. Sometimes, the policy makers are unaware of the ground realities. Therefore, those who are supposed to be beneficiary of the policy are exempted from the process of policy-making; even their inputs are not taken. Even there is no platform for debate before initiation of public policy-making process. But in most of the developed countries there is an arrangement of widespread public debate before a policy is approved.

Inadequate analysis and integration prior to policy making

Policy decisions are generally made without enough analysis of costs, benefits, and consequences. This happens because of inadequate involvement of citizens and also a communication gap between the policymakers and those who are beneficiaries.

Check Your Progress

1. Define policy analysis.
2. What are the steps involved in the model of policy analysis?
3. What are the approaches to policy analysis?

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4.8 ANSWER TO CHECK YOUR PROGRESS QUESTIONS

1. Policy analysis is an enquiry for policy-makers to come up with a reasonable action plan for proposed or actual policies.
2. There are five steps involved in model of policy analysis:
 - (i) Define the problem
 - (ii) Generate alternative solutions
 - (iii) Projecting the outcomes
 - (iv) Evaluating alternatives
 - (v) Make a decision
3. There are five approaches to policy analysis:
 - (i) Formal cost-benefit analysis
 - (ii) Qualitative cost-benefit analysis
 - (iii) Modified cost-benefit analysis
 - (iv) Cost-effectiveness analysis
 - (v) Multi-goal policy analysis

4.9 SUMMARY

- Policy analysis is about generating detailed knowledge about proposed or actual policies. According to Shafritz (1986), policy analysis is a set of techniques that seeks to answer the question of what the probable effect of a policy will be before it actually occurs.
- Until the 1980s, few were actually engaged with policy analysis as professional and the position labelled as policy analyst. Over the decades, policy analysis has emerged as an established profession and provides an opportunity to the policy professionals.
- The methodology of policy inquiry deals with the critical investigation of the proposed solution of the problem. Abraham Kaplan observed that ‘the aim of methodology is to help understand and question, not only the products of policy inquiry, but the processes employed to create these products.’

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- The policy analysts within their limited resources and time conduct research and come up with reliable and relevant solutions. The professionals and analysts proposed the solutions but lack of engagement with communities somehow affect the analysis.
- Defining the problem is the first and primary step in the existing policy analysis models. To achieve a defined goal, problem has always been a hurdle in the way to accomplish the target. Therefore, clear understanding of the problem is necessary.
- There are number of factors that need special attention while generating alternatives. It is important to have a good idea of the proposed alternatives and how these alternatives resolve the problem.
- After identification of the alternative the next step is to predict the outcome of each alternative. The outcome could be negative or positive. This step requires a comprehensive and deep analysis of the proposed alternatives and the outcome that analysts want to achieve.
- Evaluating alternatives is about testing feasibility and acceptability of each alternative. This is an important step to process a proposed alternative. For instance, an alternative might produce all the desired outcomes that the policy-analysts are looking for but it might not be acceptable before the superiors.
- Formal cost-benefit analysis approach is used if efficiency is the main goal. This analysis reduces all the impacts of a proposed policy. Qualitative cost-benefit analysis is like the monetary cost-benefit analysis in terms of looking at potential impacts of policy modifications or new policies.
- According to Bower, descriptive policy analysis refers to a set of logically consistent propositions that describe or explain action.
- There are different views on the origin and evolution of policy analysis among scholars and social scientists. Most of the textbooks traced its evolution back in post-World War II.

After WWII, the policy analysis got significant attention as analytical approach to social problems was incorporated in the policy processes. The public policy as a field of study was founded in 1951 by Harold Laswell.

- The intention of good governance gets fulfilled only when an integrated long-term strategy can be built upon cooperation between the government and public.

4.10 KEY WORDS

- **Policy Alternative:** It is a potentially available course of action that meets the objectives of a policy problem.

- **Policy Problem:** It is an identified but unrealized need value or opportunity that can be attained through public action.
- **Predictive Policy Analysis:** It implies predicting future states of policies that result from adopting of various policy alternatives.
- **Descriptive Policy Analysis:** It is policy analysis based on historical facts or policy decisions.
- **Prescriptive Policy Analysis:** It is an advisory recommendation of actions made by policy analyst, that is, intended to bring about a particular result.
- **Prospective Policy Analysis:** It is policy analysis done before the policy is implemented.
- **Retrospective Policy Analysis:** It is policy analysis based on historical facts or earlier policy decisions.

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4.11 SELF ASSESSMENT QUESTIONS AND EXERCISES

Short-Answer Questions

1. What do you understand by policy problem?
2. Which is the most commonly used approach in policy analysis?
3. What are the forms of policy analysis?

Long-Answer Questions

1. What do you understand by policy analysis?
2. Describe the approaches to study policy analysis.
3. Discuss the role of research in policy analysis.
4. Explain the evolution of policy analysis.

4.12 FURTHER READINGS

Moran, M, Martin Rein, and Robert E. Goodin. 2006. *The Oxford Handbook of Public Policy*. Oxford: Oxford University Press.

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UNIT 5 RATIONAL POLICY MAKING OF H.A. SIMON MODEL AND DROR'S NORMATIVE - OPTIMUM MODEL

Structure

- 5.0 Introduction
- 5.1 Objectives
- 5.2 Introduction to the Concept of Decision-Making
 - 5.2.1 Process of Decision-Making
 - 5.2.2 Stages of Decision-Making and its Implementation: Features
 - 5.2.3 Factor Influencing Decision-Making
- 5.3 Herbert A Simon's Rational Policy Making Model
 - 5.3.1 Features of Rational Model
 - 5.3.2 Factors Responsible for Bounded Rationality
- 5.4 Yehezkel Dror's Normative Optimum Policy-Making Model
 - 5.5.1 Characteristics
- 5.5 Answer to Check Your Progress Questions
- 5.6 Summary
- 5.7 Key Words
- 5.8 Self Assessment Questions and Exercises
- 5.9 Further Readings

5.0 INTRODUCTION

Decision-making has always been a central area in policy studies. Formulation or decision-making is the core stage of the policy-making process. A very pertinent question is: How policy decisions are made? Therefore, most of the policy literature has been focusing its work on this topic. To improve the quality of decision, policy scientists have advocated approaches and models. A number of models have been developed. The rational and optimal model have been discussed in this unit.

5.1 OBJECTIVES

After going through this unit, you will be able to:

- Understand the process of preparing and making policy decisions
- Describe the characteristics of both the rational and optimal model
- Explain the purposes of decision-making models
- Describe the Simon's rational and Dror's optimum model

5.2 INTRODUCTION TO THE CONCEPT OF DECISION-MAKING

*Rational Policy Making
OF H.A. Simon Model
and Dror's Normative -
Optimum Model*

The scholars of classical school of administration like Henry Fayol, Gullick, and Follett etc, had a simple and rigid approach to the study of the process of decision-making. The following are the steps involved in the process:

- Identification and analysis of the problem in the context of the goals and objectives
- Conceptualization of alternatives and collection of relevant pieces of information
- Choice of the best course of action or alternative that would bring the best return
- Implementation of the decision
- Evaluation of the effectiveness of the decision

The concept of decision-making is defined as 'Decision-making is usually defined as a process or sequence of activities involving stages of problem recognition, search for information, definition of alternatives and the selection of an actor of one from two or more alternatives consistent with the ranked preferences'. It can also be defined as choosing one alternative from among various alternatives to solve the problems of an organization.

Chester Bernard, an American Business Executive, and Public Administrator, stated that 'the processes of decision are largely techniques for narrowing choice.'

Seckler-Hudson, political scientist and educator argued that 'decision-making in the government is a plural activity. One individual may pronounce the decision, but many contribute to the process of reaching the decision. It is a part of political system.'

According to Millt, the following three factors are required to understand the decision-making process:

- (1) Personal differences among the individuals that make some decisive and others indecisive.
- (2) Role played by knowledge in decision-making.
- (3) Decision-making involves institutional as well as personal limitation.

Decision-making refers the adoption and application of rational choice for the government and private organizations in an efficient manner.

5.2.1 Process of Decision-Making

The process of decision-making is one of the most significant steps in the policy making and implementation. Through this mechanism an administration achieve its goals. The success of any policy depends largely on the decisions that are taken. The following steps are involved in the process of decision-making.

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- (i) Defining the problem
- (ii) Analysing the problem
- (iii) Gathering relevant information
- (iv) Developing alternative solutions
- (v) Selecting the best solution under the circumstances
- (vi) Deciding on action

Herbert Simon suggests three steps in the process of decision-making are as follows:

1. *The intelligence activity*: Intelligence activity is considered as the first stage of decision-making and it involves finding occasions for decision-making.
2. *The design activity*: Once the problem is identified, there is a need to search for the best suitable alternatives that could help to resolve the issue or problem in the best possible manner. The design activity involves finding alternative course of action.
3. *The choice activity*: Once the alternative is finalized, the administrator proceeds to the next stage i.e., choice activity. Therefore, it involves choosing one alternative from the given different alternatives. After the completion of this stage, the decision is taken which is the most appropriate and at the same time fulfills the objectives of the organization.

5.2.2 Stages of Decision-Making and its Implementation: Features

Various stages of decision-making and its implementation has certain features, some are given below:

1. Herbert A. Simon in one of his writing said that decision or decision-making 'is a matter of compromise'. Why did he say so? There are number of alternatives brought out through a rigorous process before the policy-maker and while in the process of making decision, a policy maker is to choose one or more alternatives which will serve the purpose.

In doing so, the policy maker has to make compromises accordingly to fulfill the objective of the organization/institution. The compromises are also seen on other grounds too. It is the responsibility of the policy maker to see the real situation where the policy is based on. When an abstract policy adopted or any decision taken by the state, it is the responsibility of the authority to minimize the conflict between the authority and the policy. Policy makers sometimes are compelled to make compromises and modifications in the proposed decision/policy.

2. There must be rationality in the decision-making process. As it is observed that compromise and decision-making both are linked with each other. The

compromises are made by the decision makers on realistic ground. Likewise, while a decision is being made rationality is at top of the priority by the decision maker.

The policy maker must consider all aspects of policy for instance elements involved in policy making process, implication of implementation or practicability of application etc. If a decision-maker assesses all aspects properly it will be considered that he is rational. A decision should be both objectively and subjectively rational. It is objectively rational, if it maximizes, the given values in a given situation and subjectively rational when it maximizes attainment relative to the actual knowledge of the subject.

3. A unique characteristic of decision-making is that it is not taken by a single individual and it is also not a child of single brain. It is team work. In any governmental organization, several bureaucrats and officers work together and take a decision. There are several other agencies or organizations such as political parties, pressure groups and other non-governmental organizations are directly or indirectly involved in the process of decision-making.
4. Decision-making process is related to a number of issues or questions. Wasby identifies certain categories of decision as follows:
 - (i) Who made the decision?
 - (ii) What was the decision?
 - (iii) When was the decision made?
 - (iv) How was the decision made?
 - (v) Where was the decision made?
 - (vi) What were the characteristic of the decision situation?
 - (vii) To what class or subclass of decisions does the decision belong?
 - (viii) Why was the decision made?

Whenever any decision has to be taken, the above mentioned categories must be mentioned. The decisions are made rationally and there is no place for idiosyncrasy. Keeping all these categories in view, Wasby added, 'Decision-makers are variously defined as those individuals who have public or legal responsibility for certain classes of political decisions; those who actually participate or share in the decision-making; those who contribute information to individuals participating in decision-making; those who decide which decisions or alternatives will be considered; those who belong to the more powerful economic, political, military, and/or social elites; those who participate in the most type of decision issues; those who are leaders of interest groups; those who administer or carry out the decision; those who have veto power on a decision; and/or those who select the decision rules.

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The particular definition of decision-makers by a theorist researcher appears to be at least partially determined by his perception of the issue area which he wishes to investigate.'

5. Though rationality is in centrality of the decision-making process but very often irrationality and biasness is involved in the process. For instance, a government comes with a decision which serves the larger interest of a particular group or community but somehow affects the others.

5.2.3 Factor Influencing Decision-Making

There is no one set of factors which govern decision-making. It differs from society to society. A successful decision experimented in the First World is not necessarily suitable for the developing country or the Third World. A decision is broadly dependent on the target population for its success, the decision-makers or decision-making processes are not solely responsible for it. Thus, for the decision makers, it is important to have an idea about the situation or material environment and those who are going to benefit from it. According to Synder, there are mainly three factors which influence the decision-making process.

- 1. Internal setting of the society:** Internal setting of a society refers to the elements engaged in the transformation or carrier of social change. In this context, the nature and functioning of the social organizations such as political parties, pressure groups, non-governmental organizations help in the formation of public opinion and nature of the political system. All these elements are involved in the process of decision-making. For a democratic set-up, it is important to maintain a good relationship between the authority on the one hand and several organizations on the other hand. This is possible only in the democratic form of the government. Therefore, at the time of policy-making, it is duty of policy-makers to bring all these factors into their active consideration.

Socialization is in the core of the entire process. Consequently, there is a need to build up cooperation between the policy-makers and the target population or people. So people's participation is required in the implementation of the policy and it is only possible when there is high degree of socialization.

- 2. External setting of the society:** An external relation of the state is crucial for the policy-makers who make decisions. As we know, there is an existence of international society or we are moving towards a global order where nation-states are the member of the society. Therefore, state are well connected and the need of the hour is to maintain peace and cooperation among them. If decisions/policies are made, the decision-makers must be aware of the policies and decisions of other states and these should not lead to conflict among states.

In the process of making policy, it is obligatory for a state to look deeply on the impact of its policy upon other states. If these aspects are not taken into serious consideration, it can lead to conflict. In today's world, domestic policies are also not free from this consideration.

3. The decision-making is a process that passes through a number of stages. In the process, many individual, organizations, institutions etc., are involved. Not even an ordinary decision is taken quickly, it considers all the aspects.

Snyder has further said that 'the communication and information network is closely associated with the decision-making process'.

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5.3 HERBERT A SIMON'S RATIONAL POLICY MAKING MODEL

The rational model is the first attempt to comprehend the decision-making process. It is also considered as the classical approach. Herbert Simon put forward an alternative model to the 'economic rationality model' which he believes to be a more realistic alternative. He proposed the model as against the economic one where human behaviour takes central charge. Herbert A. Simon is considered as the 'prophet of bounded rationality'. The model states that there are limitations of human capacity in formulating and solving complex problems. Simon defined decision-making as 'the optimum rational choice between alternative courses of action.' This model has certain features.

5.3.1 Features of Rational Model

- (i) Problems are clear
- (ii) Objectives are clear
- (iii) People agree on criteria and weights
- (iv) All alternative are known
- (v) All consequences can be anticipated
- (vi) Decision makers are rational

According to Simon, various types of rationality exist, such as objectively rational; subjectively rational; consciously rational; deliberately rational; and personally rational.

5.3.2 Factors Responsible for Bounded Rationality

There are numerous factors responsible for bounded rationality which leads to efficient decisions. These are following:

- Dynamic rather than static nature of organizational objectives.
- Imperfect information or inadequate information as well as limited capacity to analyse the available information.

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- Time and cost constraints.
- Environmental forces or external factors.
- Alternatives cannot be always qualified in an ordered preference.
- Decision-maker may not be aware of all the possible alternatives available and their consequences.
- Personal factor of the decision-maker
- Organizational factors like procedure, rules channels of communication etc.

According to Simon, the administrative men have the following characteristics:

- Administrative man looks for a satisfactory alternative.
- Administrative man recognizes that the world he perceives is a drastically simplified model of the real world.
- Administration man can make his choices without first determining all possible alternatives and without ascertaining that all satisfies rather than maximize.
- Administrative man is able to make decisions with relatively simple rule of thumb because he treats the world as rather empty.

Simon has offered six types of rationality in decision-making:

- (i) Subjective:** A decision is subjectively rational if the decision maximizes attainment when compared to the knowledge of the subject that the administrator has.
- (ii) Objective:** A decision is objectively rational where it is correct behaviour for maximizing the given values in a given situation.
- (iii) Conscious:** A decision is consciously rational where adjustment of means (methods, equipments and funds used to achieve an end/objective/goal) to ends (end result/objective or goal) is a conscious and planned process.
- (iv) Deliberate:** Decision is deliberately rational if the adjustment of means to ends has been deliberately sought.
- (v) Personal:** Decision is personally rational if the decision is directed to the individual's goals.
- (vi) Organizational:** Decision is organizationally rational to the extent that it is aimed at the organization's goals.

5.4 YEHEZKEL DROR'S NORMATIVE OPTIMUM POLICY-MAKING MODEL

Dror's optimum model came into existence as critique of Lindblom's incremental model which was conservative and unsatisfactory for Dror. Dror referred to the incremental model as unjust because it creates a gap between the powerful and powerless. Dror offered an optimal method for improving and strengthening the

decision-making process. He established a normative-optimum model for policy-making. Dror's model is very comprehensive and is described in several stages. In his normative-optimum model, he preferred qualitative aspects of policy. He suggested qualitative approach through a feedback mechanism. He aimed to increase the rational content of decision-making models, but acknowledged that '...Extrarational processes play a significant role in optimal policy-making on complex issues'. He suggested a combination of rational factors as well as extrarational factors linked with decision and situation. Dror's optimal model is a combination of economically rational model and extra rational model.

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5.5.1 Characteristics

- (i) Qualitative
- (ii) Contains rational, extra rational elements
- (iii) Concerned with meta policy-making
- (iv) Contains inbuilt feedback

Dror emphasized on the aspects of power and in this context he was of the opinion that people of little power face difficulties in bringing change. He has given an alternative model, which believes in the:

- (i) Need for rationality
- (ii) Need for introduction of management techniques for increasing rationality of decision making at lower levels
- (iii) Policy science approach to deal with complex problems requiring decision at higher levels
- (iv) Need to take account of values and irrational elements in decision-making

Dror's intervention adds on the rational aspect of decision-making. He wanted to enhance the rational content of government decision-making and also in the opinion to build into his model the 'extra rational' dimension of decision-making. He maintained, 'What is needed is a model which fits reality while being directed towards its improvements, and which can be applied to policy making while motivating a maximum effort to arrive at better policies.'

He proposed a modified form of rational model which can move policy-making in a more rational direction. According to Dror, 'policy analysis, must acknowledge that there is a realm of extra rational understanding based on tacit knowledge and personal experience.' Therefore, he offered a complex model of 18 stages. These stages are divided into three categories such as – meta policy-making stage, policy-making stage, and post-policy making stage. These stages are as follows:

Meta policy-making stage

- (i) Processing values
- (ii) Processing realities

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- (iii) Processing problems
- (iv) Surveying, processing and developing resources
- (v) Designing, evaluation and redesigning the policy making system
- (vi) Allocating problems, values and resources
- (vii) Determining policy-making strategy

Policy-making stage

- (viii) Sub-allocating resources
- (ix) Establishing operational goals, with some order of priority
- (x) Establishing a set of major alternative policies including some 'good one'
- (xi) Preparing a set of major alternative policies, including some 'good one'
- (xii) Preparing reliable predictions of the significant benefits and cost of the various alternatives
- (xiii) Comparing the predict benefit and cost of the various alternatives and identifying the 'best' ones.
- (xiv) Evaluating the benefit and cost of the 'best' alternatives and deciding whether they are 'good' or not.

Post policy-making stage

- (xv) Motivating and execution of policy
- (xvi) Executing the policy
- (xvii) Evaluating policy making after executing the policy
- (xviii) Communication and feedback channels interconnecting all phases

Check Your Progress

1. What are the steps in the process of decision-making as per Herbert Simon?
2. Write down name of any three steps involved in the process of decision-making.
3. What are stages in which Dror divides in his normative optimum policy making model?

5.5 ANSWER TO CHECK YOUR PROGRESS QUESTIONS

1. Herbert Simon suggests three steps in the process of decision-making as follows: intelligence activity, design activity and choice activity.

2. Three steps of the decision-making process are as follows:
 - (i) Defining the problem
 - (ii) Analyzing the problem
 - (iii) Gathering relevant information
3. Dror divides the stages of his Normative Optimum policy making model into the following categories: meta policy-making stages, policy making stage and post policy making stage.

*Rational Policy Making
OF H.A. Simon Model
and Dror's Normative -
Optimum Model*

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5.6 SUMMARY

- The rational model is well-known as the rational-comprehensive model developed by an American economist and political scientist, Herbert A. Simon.
- The scholars of classical school of administration like Henry Fayol, Gullick, and Follett etc, had a simple and rigid approach to the study of the process of decision-making.
- The concept of decision-making is defined as 'Decision-making is usually defined as a process or sequence of activities involving stages of problem recognition, search for information, definition of alternatives and the selection of an actor of one from two or more alternatives consistent with the ranked preferences'.
- The process of decision-making is one of the most significant steps in the policy making and implementation. Through this mechanism an administration achieves its goals. The success of any policy depends largely on the decisions that are taken.
- There must be rationality in the decision-making process. As it is observed that compromise and decision-making both are linked with each other. The compromises are made by the decision makers on realistic ground.
- There is no one set of factors which govern decision-making. It differs from society to society. A successful decision experimented in the First world is not necessarily suitable for the developing country or the Third world.
- An external relation of the state is crucial for the policy-makers who make decisions. As we know, there is an existence of international society or we are moving towards a global order where nation-states are the member of the society.
- The rational model is the first attempt to comprehend the decision-making process. It is also considered as the classical approach. Herbert Simon put forward an alternative model to the 'economic rationality model' which he believes to be a more realistic alternative.

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- Dror's optimum model came into existence as critique of Lindblom's incremental model which was conservative and unsatisfactory for Dror. He further refers to the incremental model as unjust because it creates a gap between the powerful and powerless.
- Dror's intervention adds on the rational aspect of decision-making. He was capable of enhance the rational content of government and also in the opinion to build into his model the 'extra rational' dimension of decision-making.

5.7 KEY WORDS

- **Bounded Rationality:** This concept appears in H. A. Simon's *Administrative Behaviour*. According to Simon, human behaviour is neither totally rational nor totally non-rational. It has its limits. Hence, decisions are never the 'best possible' outcomes in choice behaviours on the part of decision-makers, but are only solutions that 'satisfy'.
- **Meta Policy Making:** A meta policy is 'policy about policies' that is, decisions regarding who will make the policies, how, what authority and responsibility would be prescribed at each stage etc.

5.8 SELF ASSESSMENT QUESTIONS AND EXERCISES

Short-Answer Questions

1. Identify the features of the rational model.
2. What do you understand by bounded rationality?
3. What are the factors suggested by Synder which influence the decision-making process?

Long-Answer Questions

1. What do you understand by decision-making?
2. Describe Simon's six types of rationality.
3. Explain the factors responsible for bounded rationality.

5.9 FURTHER READINGS

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*Rational Policy Making
OF H.A. Simon Model
and Dror's Normative -
Optimum Model*

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UNIT 6 SYSTEMS MODEL FOR POLICY ANALYSIS AND INSTITUTIONAL APPROACH TO POLICY ANALYSIS

Structure

- 6.0 Introduction
- 6.1 Objectives
- 6.2 Systems Model for Policy Analysis
 - 6.2.1 The Eastonian 'Black Box' Model
 - 6.2.2 Characteristics of Behavioural Revolution According to David Easton
 - 6.2.3 Limitations of Systems Model to Policy Analysis
- 6.3 Institutional Approach to Policy Analysis
 - 6.3.1 Limitation
- 6.4 Answer to Check Your Progress Questions
- 6.5 Summary
- 6.6 Key Words
- 6.7 Self Assessment Questions and Exercises
- 6.8 Further Readings

6.0 INTRODUCTION

The very idea of models that constitute and providing a discussion of analysis came into existence in the 1970s and 1980s. As per the definitions, there is no comprehensive theory on decision-making analysis. A theory or model is a depiction of reality. According to Dye (1995), in researching public policy, some theoretical methods and models have been developed. Theories and models are future oriented. Hanekom (1987) referred that mostly public policies are future-oriented and aimed at fostering social welfare in society in general. There are several public policy theories and models which comprise political systems theory, elite theory, group theory, institutional approach, incremental theory, and rational-choice theory. This unit consequently, aims to analyse institutional model and systems model to study public policy.

6.1 OBJECTIVES

After going through this unit, you will be able to:

- Examine Institutional and Systems approaches to public policy
- Interpret Eastonian model for policy analysis
- Identify the limitations of systems and institutional model

6.2 SYSTEMS MODEL FOR POLICY ANALYSIS

Systems approach is not a method or technique, nor a fixed set of techniques but rather a concept or a way of looking at a problem. The systems theory or model in political science is given by David Easton who attempted to analyse politics from the perspective of systems in his distinguished work 'political system' in 1953. The model given by David Easton for policy-making process is considered to be a 'black box' that transforms the demand in society into policies. In his study of political systems, Easton suggests that the political system is a function of society that is interested in the dissemination of values in an authoritative way.

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6.2.1 The Eastonian 'Black Box' Model

David Easton describes political system as an input-output framework. The social, economic and political products of the system are seen as inputs. In the form of both demands and support, they are brought into the political system. Demands are the claims made by the political system by individuals and organizations to change some part of the environment. The environment is beyond the limits of the political system. The rules, laws and customs constitute the support of a political system. Assistance is given when the laws are approved by the citizens or groups. Supports, however, are the material inputs of a system that constitute the psychological and material capital of the system, such as compliance with rules, payment of taxes, or even compliance with the national flag. The institutions are at the centre of the political system. These comprise the chief executive, legislators, judges and bureaucrats. These are the constituents that inputs transform into outputs. Outputs are the political system's authoritative value allocations that constitute public policies. Public policy is, therefore, the product of the system model. Feedback is one of the important aspects, the concept offers a shift in the environment choice and the demands created therein, often affecting the character of the political system as well. Outputs of policies can generate new demands. Policy outputs may generate new demands. The idea of feedback plays an important role in building a potential environment.

6.2.2 Characteristics of Behavioural Revolution According to David Easton

David Easton's work proved to be a landmark in the foundation of the behaviourist revolution in political science. He highlighted eight major features of the behavioural revolution. These eight major characteristics of behavioural revolution are regularities, verification, techniques, quantification, values, systematization, pure science and integration.

- 1. Regularities:** It is about uniformities in human behaviour. It is opinion of behaviourists that human behaviour shows some outstanding uniformity in

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political activities that can be generalized to describe human behaviour. Therefore, it is also found that human beings, despite differences, behave more or less similarly on diverse occasions. For instance, voting behaviour is the pertinent example in this context. It is observed that the voters of different caste, class, religion, and profession vote for the same candidate or party in successive elections. This example clearly shows the regularities in political behaviour.

- 2. Verification:** These generalizations should be the valid means testable with reference to relevant behaviour. Like traditionalists, behaviourists do not accept anything as provided. They do not believe in any abstract, they test and check all of it. After scientific authentication, they believe in empirical or scientific findings that can be obtained.
- 3. Techniques:** Correct technique is very important to achieve the desired goals. The behaviourists illustrate the adoption of correct techniques for obtaining and interpreting scientific data. Once correct technique is adopted then valid, reliable and comparable data can be achieved. To achieve this, the behaviourists suggest the use of sophisticated tools such as the multivariate analysis, sample, surveys, mathematical method, simulation etc. These are some acceptable and standard means and methods for observing, recording and analysing behaviour.
- 4. Quantification:** Uniformities obtained by generalization and observation should be reliable, simple and observable and should be quantified in numbers or symbols. In the absence of quantification, a decision-maker does not describe political phenomena properly or predict a political result. David Easton observed that 'Precision in the recording of data and the statement of their findings requires tables, graphs and curves are drawn in behavioural research.' Quantification is criticized by traditionalists, that it is an unattainable and un-reasonable.
- 5. Values:** Over the question of value neutrality, there is difference between the behaviouralists and traditionalists. The traditionalists believe in value-laden study while the behaviouralists believe in value-free study. The behaviouralists do not start with any preconceived notions or values because they believe in empirical findings.
- 6. Systematization:** The behaviouralists believe that a systematic research is must in political science. According to them, it must be 'theory oriented and theory directed.' There should be close collaboration between theory and research which is 'closely interrelated parts of a coherent and orderly body of knowledge' and that 'research, untutored by the theory, may prove trivial and theory, unsupported by data, futile'.

7. Pure Science: The behaviouralists emphasize on developing a pure science approach in conducting research. Therefore, the research they conduct should be applied in solving social problems.

8. Integration: The behaviouralists believe that all social sciences are interrelated and political phenomena cannot be studied in isolation. That initiative makes political science interdisciplinary. Likewise, an individual and his political individuality can be understood completely when he is connected with other aspects such as social, cultural, economic, religious, historical and psychological. Thus, the behaviouralists refer to an applied methodology, and political or policy scientists must research other social sciences, such as history, sociology, psychology, anthropology, economics, etc.

A political system is a system of interactions in any society through which authoritative allocations are made and implemented in the form of policies and decisions. There are four broader concepts of Easton's model. These concepts are system; environment; response; and feedback. System is basically political system and it is the basic unit of analysis. It is also a 'system of interactions in any society through which binding or authoritative allocations are made and implemented.' A political system comprises political groups and organizations, called para-political systems. It includes all political interactions. The 'system' concept includes principles, community, authority, governance, execution, involvement, mechanism, etc. It comprises all form of formal and informal processes, interactions, structures, values, behaviour etc. Public policy is an outcome or political system's response to demands arising from the environment. According to Easton, the political system requires some identifiable and interrelated structures and activities in a society that allow the authoritative allocation of values (decisions) that are binding on the society. The social system, economic system and biological setting form the environment which is external to the boundaries of the political system. The model is based on the input-output concept. Inputs from the environment into the political system consist of demands and supports. Demands are claims made by individuals or organizations seeking intervention to meet their interests. Support is actions taken in response to demands by the political system. The outcomes of the political system, on the other hand, are the laws, regulations, and legal decisions, etc. The political system receives inputs from its environment, according to a system model, and transforms them into outputs.

The structural model envisages public policy as the political system's response to the environmental demands. The political system comprises of institutions that make authoritative allocations of the demands needed in society as a whole, in particular.

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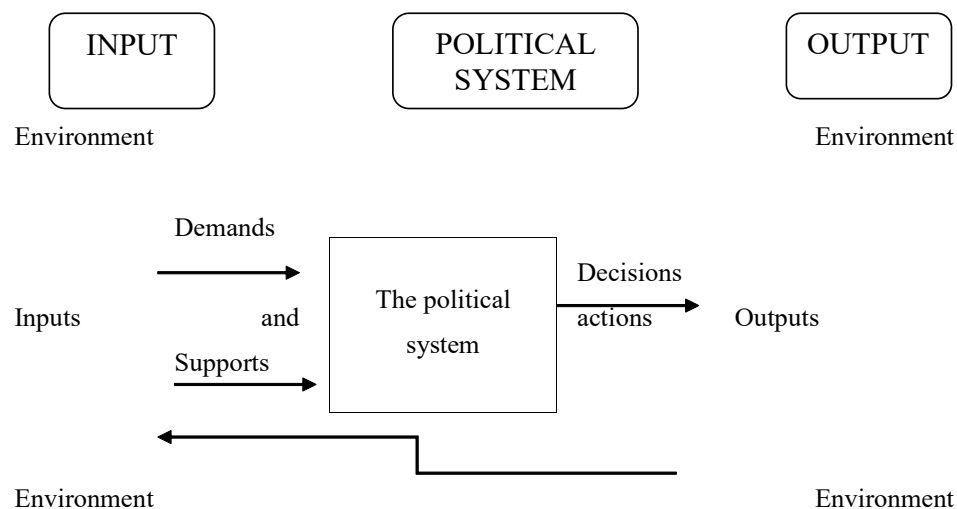


Fig. 6.1 *Structure of Systems Model for Policy Analysis*

The concept of feedback indicates that public policies made at a given time may consequently alter the environment and the demand arising thereafter, as well as the character of the political system itself. Policy outputs may produce new demands, which lead to further outputs, and so on in a never-ending flow of public policy.

Davies and Lewis in their models of political system have defended input in the language as ‘inputs can be defined briefly as constituted by the demands made upon the political system and the supports of the system itself’.

6.2.3 Limitations of Systems Model to Policy Analysis

There are several factors which limit the systems model for the study of public policy. The theorists have an opinion that it seems that this input-output model is too simple. There is also an accusation of taking up the value-laden methods of welfare economics which is primarily based on social welfare function. This conventional input-output model ignores the patchy nature of the black-box. The ‘power, personnel, and institutions’ are the missing ingredients in the system approach of policy-making. According to Lineberry, while examining these ‘we will not forget that political decision-makers are strongly constrained by economic factors in the environment in the political system.’ There are certain elements that have the potential to influence the environment within which they operated such as policy-makers and institutions as well, Estonian model ignores these aspects. The systems model would see the decision-making system as ‘facilitative’ and value-free rather than ‘causative’, i.e., as a completely neutral structure. In this model, the elites have more influence than masses. The role of bureaucracy is very important in shaping the policy and also in choosing alternatives. The model suggests that policy-making involves not only the policy content, but also the policy-makers perception and values.

Easton's input – consists of demands and supports, demands can be:

- (i) For the allocation of goods and services, such as wages and conditions of jobs, education, health,
- (ii) Regulation of behaviour – public safety, control over market etc.
- (iii) Participation in the political system – right to vote, form political associations
- (iv) Communication and information regarding policies of the government

Support can be:

- Material support like payment of taxes.
- Obedience of laws, rules
- Participatory support – voting, political discussion etc.
- Paying attention to government communication like ads, ceremonies, symbols etc.

Easton's output: policies and decisions

- Taxation and economic policies
- Regulation of human behaviour
- Distribution of resources; provide opportunities
- Symbolic outputs, communication of policy intent

Feedback in the communicative process produces action in response to information about the political system.

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6.3 INSTITUTIONAL APPROACH TO POLICY ANALYSIS

A state is a network of government systems and institutions in a democratic society. A state has lots of responsibilities and functions. It plays a major role, too, in resolving conflict between the social and economic interests. It is considered as the custodian of all sections and communities of the society. No class and community is favourable and better before a positive state. No organization single handedly is able to accomplish its aims across the entire spectrum of public policies. The practices of individuals and groups in diverse societies are usually aimed at governmental institutions such as the executive, legislature, and judiciary, etc. The policies are formulated, adopted and imposed by the institutions of government. The policies become public policies when state machineries are involved in the adoption and implementation of the policies. The government gives legal authority to policies. The public policy is the outcome of certain decisions taken by the government for the larger good and requires legal authority. Once it is adopted, it is the legal obligation of people to obey the same.

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The characteristics of government institutions which govern shaping public policies are the following:

- (i) The public policy is universally applicable to all
- (ii) It involves coercion. When a policy takes shape of an act, the citizens are bound to obey the law and if he/she does not obey this, the state can take action against the concerned person.

There is a close relationship between public policy and government institutions. Thus, the study of governmental structures and institutions became very popular among the social scientists and institutional study took the central stage. The whole process of policy-making and implementation engages many institutions of the government.

The Institutional model is one of the oldest approaches to study public policy. The study of government institutions has been a prime concern of political science and public administration stream since the beginning. The government institutions include legislatures, executives and judiciary and the public policy is made and implemented by them. It is determined by government institutions and the institutions give policy legitimacy. The policies are applied to all citizens of the society by the government and it may use force in applying or implementing policies. The model considers policy as an institutional output. The government is in the central stage while dealing with the public policy. The relationship between the government institution and public policy is very crucial because a policy cannot become a public policy until it is chosen, implemented and imposed by some government institutions.

Traditionally, this approach concentrated largely on description of formal and legal aspects of government institutions which included their formal structure, legal powers, procedural rules and function. There was also consideration of legislative-executive relations. Major focus was on these aspects and there was little concentration on institutional operation, analysis of public policies and relationships between institutional structure and public policies. The social scientists and practitioners shifted their attention from teaching and research to the political processes within government or political institutions and also focusing on the behaviour of participants in the process. Earlier in the study of legislators, the scientists and researchers used to study legislature as an institution but later the focus shifted to analysing and explaining its operation. Therefore, in academia a new course has been added about the legislative process.

6.3.1 Limitation

Within the Institutional model, the analysis focussed on describing government structures and organizations. There has always been a delinking between government structures and content of the policy. The model lacks any systematic investigation into the impact on public policy decisions of institutional

characteristics. There was neglect of linkages between the government processes and the consequences of action. It implies that it is possible to organize government agencies in ways that promote such policy results. For others, these outlines can be advantageous. The consequences of laws and institutional structures are usually not neutral. They, thus, prefer certain preferences over others in the society.

There is the impact of institutional characteristics on policy outcomes. Under this model, one can study the relationship between institutional arrangement and the content of public policy and also investigation of these relationships in a comparative way. It is very difficult to evaluate the impact or institutional arrangements on public policies. In this context, Thomas Dye has described, 'both structure and policies are largely determined by environmental forces, and that tinkering with institutional arrangements will have little independent impact on public policy if underlying environmental forces-social, economic, and political-remain constant.'

Check Your Progress

1. How many characteristics of behavioural revolution have been outlined by David Easton?
2. Mention the characteristics of governmental institutions which influence shaping public policies.

6.4 ANSWER TO CHECK YOUR PROGRESS QUESTIONS

1. There are eight characteristics outlined by David Easton.
2. There are three characteristics of governmental institutions which influence shaping public policies:
 - (i) The government gives legal authority to policies
 - (ii) The public policy is universally applicable to all
 - (iii) It involves coercion

6.5 SUMMARY

- Systems approach is not a method or technique, nor a fixed set of techniques but rather a concept or a way of looking at a problem. The systems theory or model in political science is given by David Easton who attempted to analyse politics from the perspective of systems in his distinguished work 'political system' in 1953.

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- David Easton describes political system as an input-output framework. The social, economic and political products of the system are seen as inputs. In the form of both demands and support, they are brought into the political system.
- David Easton's work proved to be a landmark in the foundation of the behaviourist revolution in political science. He highlighted eight major features of the behavioural revolution. These eight major characteristics of behavioural revolution are regularities, verification, techniques, quantification, values, systematization, pure science and integration.
- The behaviourists believe that all social sciences are interrelated and political phenomena cannot be studied in isolation. That initiative makes political science interdisciplinary.
- A political system is a system of interactions in any society through which authoritative allocations are made and implemented in the form of policies and decisions. There are four broader concepts of Easton's model.
- Public policy is an outcome or political system's response to demands arising from the environment. According to Easton, the political system requires some identifiable and interrelated structures and activities in a society that allow the authoritative allocation of values (decisions) that are binding on the society.
- The concept of feedback indicates that public policies made at a given time may consequently alter the environment and the demand arising thereafter, as well as the character of the political system itself.
- There are several factors which limit the systems model for the study of public policy. The theorists have an opinion that it seems that this input-output model is too simple. There is also an accusation of taking up the value-laden methods of welfare economics which is primarily based on social welfare function.
- A state is a network of government systems and institutions in a democratic society. A state has lots of responsibilities and functions. It plays a major role, too, in resolving conflict between the social and economic interests.
- The Institutional model is one of the oldest approaches to study public policy. The study of government institutions has been a prime concern of political science and public administration stream since beginning.
- Traditionally, this approach concentrated largely on description of formal and legal aspects of government institutions which included their formal structure, legal powers, procedural rules and function. There was also consideration of legislative-executive relations.

- Within the Institutional model, the analysis focussed on describing government structures and organizations. There has always been a delinking between government structures and content of the policy. The model lacks any systematic investigation into the impact on public policy decisions of institutional characteristics.
- There is the impact of institutional characteristics on policy outcomes. Under this model, one can study the relationship between institutional arrangement and the content of public policy and also investigation of these relationships in a comparative way.

NOTES

6.6 KEY WORDS

- **Feedback:** It is a communicative mechanism that causes action in response to system information.
- **Black-box:** It denotes the processes by which input processing takes place to produce outputs. The logic of cybernetics, suggested by Norbert Weiner to understand political processes and actions, is applied.
- **Inputs:** They are the pressures of all kind which are exercised on the system. The forces of all kinds that are exercised on the system.
- **Demand:** It is an expression of opinion that an authoritative allocation with regard to particular subject matter should or should not be made by those responsible for doing so.
- **Outputs:** These are the decisions and action of the authorities.

6.7 SELF ASSESSMENT QUESTIONS AND EXERCISES

Short-Answer Questions

1. Write a short note on the black-box model.
2. What is the significance of 'value'?
3. What do you understand by demand and support?

Long-Answer Questions

1. Describe the Systems model of policy analysis.
2. Describe the Institutional model of policy analysis.
3. Explain the limitations of the Systems model and Institutional model.

NOTES

6.8 FURTHER READINGS

- Moran, M, Martin Rein, and Robert E. Goodin. 2006. *The Oxford Handbook of Public Policy*. Oxford: Oxford University Press.
- Anderson, J. E. 2003. *Public Policy-Making: An Introduction*. Boston: Houghton Mifflin.
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BLOCK - III
PUBLIC POLICY MAKING PROCESS

*Forces in Policy Making
Process*

**UNIT 7 FORCES IN POLICY
MAKING PROCESS**

NOTES

Structure

- 7.0 Introduction
- 7.1 Objectives
- 7.2 Electorate Power
- 7.3 Forces in the Policy-Making Process: Individual Citizen
 - 7.3.1 The Concept of Citizen Involvement
 - 7.3.2 Engaging Citizens in Policy-Making
 - 7.3.3 Guiding Principles for Engaging Individual Citizens in the Policy-Making Process
 - 7.3.4 Ways to Influence Policy by an Individual Citizen
- 7.4 Media
- 7.5 Electoral Pledges
- 7.6 Pressure Groups
- 7.7 Answers to Check Your Progress Questions
- 7.8 Summary
- 7.9 Key Words
- 7.10 Self Assessment Questions and Exercises
- 7.11 Further Readings

7.0 INTRODUCTION

Societies across the world from one country to another are suffering from innumerable problems. These problems are evident in the social, economic, political, environmental, cultural and religious spheres. To resolve these problems, policy is one of the most potent instruments used by various governments throughout the world. Public policy is a tool to address problems of societies and issues that are of public concern. Meir and Bohte (2007) defined policy as a ‘purposive course of action followed by actors or sets of actors usually related with government on a problem or matters of public concern.’ Ikelegbe (2006) described policy as a course of action or a programme of actions, which is chosen from among several alternatives by certain actors in response to certain problems. These policies are formulated by certain actors to fix certain problems and followed by certain course of actions as well as processes. The whole policy process involves formulation, implementation and evaluation. In the policy making process, several actors play a crucial role. Anderson (1979) categorized the actors in the policy making process into two, namely: official and unofficial policy makers. The official policy makers are those who possess legal authority to engage in formulation of public policy

*Self-Instructional
Material*

whereas unofficial policy makers do not occupy formal public positions or political offices.

NOTES

7.1 OBJECTIVES

After going through this unit, you will be able to:

- Interpret the role of actors in the policy-making process
- Identify the official and unofficial actors
- Describe citizens and electorates' role in the policy-making process
- Examine the influence of media and pressure groups in policy formulation

7.2 ELECTORATE POWER

Electorates are those who are eligible for voting in an election. The process of voting ensures political participation. Voting is a process for electorate in order to make collective decision followed by discussion, debate or election campaigns. The political parties hit the campaign for legislative intentions and also pledge for public policies. The electorates influence public policies. They are one of the main constituents in policy formulation processes. Elections are a tool which provide a means for citizens to influence governmental decisions by electing representatives for the parliament or legislative assemblies. The electorate has the power to shape the government policy by electing candidates on the basis of their policy stands. If it does not happen, the political commentators complain that the candidates in the running elections fail to address the real issues. Commoners complaint that the media fail to put the issues adequately before the party and candidates. Here, media plays a significant role and also consider its role as bridging the gap between the people and the system.

In the backdrop of the recent political developments, some authors have claimed that the electorates in electoral democracies elect their representatives but hardly make any difference to the policies that will be perused. There are a number of steps in electoral democracy such as the expression of citizens' preferences, identification of preferred political parties and candidates and the elected candidates have to perform on their platform that defines power of electorates. The ideological preferences of electorates also matters. There is a question, whether voters' ideological (left-right) preferences are associated with the social policies that the government implements. This is true in many cases but not always. There are countries where elections fought on other issues rather than policy measures. But at the same time, being 'left' or 'right' has an economic meaning. The electorates with left ideological orientation go for more economic equality while the electorates with right-wing orientation have a preference for allowing market forces to determine income distribution within the society. In recent

times, the meaning of being ‘left’ or ‘right’ is not only limited to economic meaning but also other meanings such as cultural conflict on diversity and immigration. The recent elections in the world explain this scenario very well.

In a democracy, the electorates have a significant way to influence policy, government and those who are holding public offices. The electorates have power to influence but at the same time, there is a responsibility to evaluate adequately political parties and candidates through serious reading of electoral manifestos, watch debates and also keeps matters of larger benefits such as environment, climate welfare in mind when an electorate decides who to vote for.

It is true, power is very unequally distributed and concentration of power is at the top of the socio-economic ladder but ordinary people do have real power in many ways. The electorates access power as voter, worker, consumer, entrepreneur, investor, and activist and so on. As a voter, an electorate influence government policies and also takes part in policy-making being an active political participant. Being a worker, you have a job that benefits society in tangible ways and at the same time joining a union also upgrade this power. As consumers, we have a wide choice about what to buy. The choice of buying is the power of citizen. As an entrepreneur, one needs to start own business and use this opportunity to make some positive impact on the society. This is also a form of power where one can contribute to the society and earn a living. In a finance system, a big proportion of money comes from a number of ordinary people’s saving accounts and not from big business tycoons. Being an investor, you need to smartly choose a bank scheme that has an ethical policy where your money can be used for a good cause. As an activist, a person has power to mobilize electorates for good reasons and sometimes against the political power if it deviates from the actual path. Therefore, electorates have numerous powers to influence the system, policies and other areas in the society.

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7.3 FORCES IN THE POLICY-MAKING PROCESS: INDIVIDUAL CITIZEN

The process of policy-making involves government institutions, offices of interest groups, meeting of special commissions and planning organizations. In the process of policy formulation, various agencies are involved from both formal and informal channels. The formal channels of policy formulation include the legislative, executive and political wing of the government. The informal channels include the political parties, civil society organizations, community based groups, trade unions etc. No policy-maker formulates policies in isolation. Therefore, for efficient policy-making, cooperation of various actors is essential and interaction between both channels offers a more competent policy.

There are various agencies involved in the formulation of the policy. The agencies that play a significant role in the policy-making are legislature, cabinet,

political parties of the opposition, pressure groups and NGOs, media, bureaucrats and individual citizen.

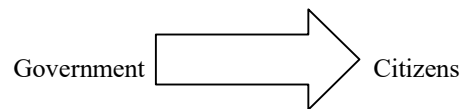
7.3.1 The Concept of Citizen Involvement

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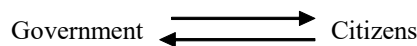
Citizens participation is expressed as the involvement of citizens in a wide range of activities that relate to the making and implementation of policy. For Campbell and Marshall and Anderson, citizen involvement means the ability of the public to take part or participate in the nation-states' processes and activities especially concerning preparation of public policy and the critical decision-making that affects their day to day lives. Some scholars consider 'citizen involvement' and 'citizen participation' as the same concept. Cogan & Sharpe (1986) define citizen participation as a process which provides private individuals an opportunity to influence public decisions. They consider citizen participation as a component of democratic process. Mize (1972) came up with 'public involvement' that means citizens have a direct voice in public decisions. He believes that the term 'citizen' and 'public' as well as 'involvement' and 'participation' are often used interchangeably. The citizen participation, many agencies and individuals choose to exclude or minimize citizen participation in the formulation of policy. They have an impression that it is an expensive and time consuming exercise. But its benefits have been explained by Cogan & Sharpe (1986). They have identified five benefits of citizen participation in the process namely, information and ideas on public issues; public support for planning decisions; avoidance of protracted conflicts and costly delays; reservoir of goodwill which can carry over future decisions; and spirit of cooperation and trust between the agency and the public.

For efficient policy, there is a need of healthy relations between the government and citizens and it is required at each stage of the policy-making cycle: from policy design, through implementation to evaluation. As per the OECD survey (2001), the following are the working definitions:

- *Information:* A one-way relation in which the government produces and delivers information for use by citizens. It covers both 'passive' access to information upon demand by citizen and 'active' measures by government to disseminate information to the citizens.



- *Consultation:* A two-way relation in which citizens provide feedback to the government. It is based on the prior definitions by government of the issue on which citizens' view are being sought and require the provision of information.



- *Active participation:* A relation based on partnership with the government, in which citizens actively engage in the policy-making process. It acknowledges a role of citizens in proposing policy options and shaping the policy dialogue – although the responsibility for the final decision or policy formulation rests with the government.

Government ← ↔ Citizens

NOTES

7.3.2 Engaging Citizens in Policy-Making

The demand for enhanced citizens' participation is highly appreciated in many policy areas. However, it is a recent trend to enhance more and more participation of individual citizen. Technically, there are different types of participatory procedures which have been developed intended to include stakeholders, those directly affected and/or the general public at local, national and international level. Political participation is the key tool for the inclusion of citizens in democracies. Since the mid-1960s, political sociologists observe a 'participatory revolution' – not only in Western liberal democracies – where demands for 'more', 'better' and 'enhanced' citizen participation are frequently raised. The citizens participation has been enhanced in recent times in many policy sectors such as urban planning, waste management, and environment policy. By the definitions, more citizens participation is often equated with more democracy, better accountability, and more effective policy decisions. The theories of democracy offer citizens participation enormously but differ at some points such as who exactly should participate, to what extent and for what function. There is no uniformity and set rule for the participation.

In a democratic form of government, the public is pivotal and public opinion plays a major role in the policy-making process. The needs of citizens get expressed in the form of demands and are shaped through policy agenda of the political parties. Therefore, the democratic form of government offers voting rights through which people initiate the process of legislation and policy-making. However, in practice, the participation of individual citizens is negligible. In this context, Parsons observed that, 'the citizen should be seen as someone who can be involved in making a productive input to public policy.' He further noted that 'the lay voice should be taken seriously and that the enhancement of the voice should be a matter of concern for both policy analysts and policy makers.'

7.3.3 Guiding Principles for Engaging Individual Citizens in the Policy-Making Process

The Organization for Economic Co-operation and Development (OECD) survey suggests a number of guiding principles for active participation in policy-making. The guiding principles are the following:

1. **Commitment:** Leadership and strong commitment to information, consultation and active participation in policy-making is needed at all levels.

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2. **Rights:** Citizens' right to access information, provide feedback, be consulted and actively participate in policy-making must be firmly grounded in law or policy.
3. **Clarity:** All the constituent elements should be clear. The roles and responsibilities of citizens and government must be clear to all.
4. **Time:** Adequate time must be available for consultation and participation.
5. **Objectivity:** The information circulated by the government during policy formulation should be objective. All citizens should be equally treated while exercising their rights of access to information and participation.
6. **Resources:** Adequate financial, human and technical resources are needed in policy-making that makes the policy efficient and effective.
7. **Co-ordination:** There should be a proper co-ordination to maintain information and feedback.
8. **Accountability:** There should be accountability of governments to maintain an account for the use they make of citizens' input received through feedback, consultation and active participation. The process of policy-making happens to be open, transparent and amenable to external scrutiny and review are crucial to increase government accountability overall.
9. **Evaluation:** Governments need the tools to evaluate their performance in providing information, conducting consultation and engaging citizens in order to adapt to new requirements and changing conditions for policy-making.
10. **Active citizenship:** Governments benefit from active citizens and a dynamic civil society and can take concrete actions to facilitate access to information and participation, raise awareness, strengthen citizens' civic education and skills as well as to support capacity-building among civil society organizations.

7.3.4 Ways to Influence Policy by an Individual Citizen

There are numerous ways in which an individual citizen can influence the policy processes. The traditional and elite challenging methods are the following:

Traditional or conventional methods include:

- (i) Voting in election
- (ii) Taking part or working on political campaign for electorates or political parties that comprises convincing others how to vote, attending rallies and public meetings, and fund raising activities.
- (iii) Working with groups to resolve community issues and problems

Whereas elite challenging or unconventional political participation include:

- (i) Signing petitions
- (ii) Participating in demonstrations

- (iii) Participating in boycotts
- (iv) Participating in unofficial strikes

There are several ways to participate in politics and policy formulation processes.

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7.4 MEDIA

The mass media plays a significant role in the policy processes. The electronic mass media has become very popular and at the same time plays an important role to influence the policy processes. The media works as a bridge between the citizens and the government to fill the information gap. The media communicates information to the citizens about the decisions the governments have taken and also communicates the reaction of citizens to the governments. It is also important to determine whether they are politically biased in their sharing and presentation of information about policies. If they are biased, they go against the ethos of democracy. The media should be unbiased in bringing issues of concern to the attention of the public as well as the concerned authority. The media performs certain important functions which are the following:

- The media provides information and also presents diverse viewpoints that help citizens from their own views of policy issues.
- The media help to prioritizes public policy issues that come to the attention of concerned authority. The media serve as a hub of ideas and also help in determining what issues come to the attention of policymakers based on their independent assessment.
- The unbiased media serves as an important watchdog over officials, providing checks on corruption, attention on matters of concern of larger good, unethical conduct and bureaucratic lapses.
- The media provides an essential link between citizens and their governments.

Through the media, individual citizens learn how policies will affect them, and the government receives feedback on their policies. The role of media is crucial in the liberal democratic system, here media critically scrutinize governmental affairs and it is considered as the 'fourth estate' of the government to ensure that the government can be held accountable by the public.

7.5 ELECTORAL PLEDGES

Electoral pledges are a sort of marketing or advertising of policies to electorates by use of persuasive words. Through this factor political parties can increase their electoral support by targeting different group of voters with different policies. To attract voters, the political parties come up with a policy which reflects the voters needs and requirements.

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Researches in that field identify specific mechanisms that make words generally persuasive and appealing to everyone. For Elina Lindgren and Elin Naurin in the literature on linguistic semantics, an important distinction is made between reason-driven and emotion-driven persuasive argumentation. Walton (2006) described that reason-driven persuasion refers to processes through which attitudes or beliefs are changed through appeals to logic and reason, and emotion-driven persuasion is the process through which attitudes or beliefs are changed by appeals to emotions or values. The reason-driven persuasion works but emotion-driven persuasion always works. The emotion-driven reasoning compels ordinary citizens to get complex information through the shortcuts such as emotion and values. Elina and Elin used three characteristics of words on emotion-driven persuasion in the literature on linguistic semantics to define notion of universal persuasive words. First, the words are associated with universally appreciated values. Universal persuasive words capture values that are cherished by people of different ideological groups. Second, the words have a strong emotive meaning. Emotive meaning refers to the emotional reactions a word evokes. Universal persuasive words have a strong emotive meaning. Third, the words have a vague and flexible descriptive meaning.

Election pledges and its fulfillment are very relevant to the practice of representative democracy. If political parties channel societal demands into policies effectively then there is equivalence in election manifesto and government policies. Mansbridge (2003) described that ‘the idea that during campaigns representatives made promises to constituents, which they then kept or failed to keep’ is the focus of the traditional model of democratic representation, also known as ‘promissory representation’. Political parties are supposed to offer citizens some sort of choices during election campaigns in the form of promises to deliver policies and outcomes and parties are supposed to keep those promises if they make government after election. A number of issues take centrality of electoral pledges such as socio-economic, women, religious minorities, etc. It is also true that only few voters read party manifestos. According to Ian Budge, ‘this is because they form the basis of comment in the mass media and provide the cues for questions raised with party candidates at all levels, as well as staple issues for their campaigns’. There are three functions that an electoral pledge/manifesto can serve: provide a compendium of valid party positions; establish supremacy over all other policy positions that may be attributed to the party and thereby streamline the party’s campaign, and use as a campaign tool to directly inform voters.

7.6 PRESSURE GROUPS

Pressure group means a group of people who are organized for actively promoting and defending their common interests. The pressure groups are the connecting link between the government and citizens. Pressure group is a common interest group that tries to secure their interests by influencing the public policy. They are

also referred to as Civil Society Organizations (CSOs). In any democratic set-up, pressure groups or interest groups play a significant role in influencing public policies. Pressure groups along with political parties play a crucial role in the struggle of power. Pressure groups are usually divided into broad categories – domestic and global. The domestic pressure groups are concerned with domestic policies whereas the global pressure groups are involved in multi-dimensional engagements covering wide-ranging issue across the globe.

NOTES

7.6.1 Role of Pressure Groups in Various Institutions

Role of pressure groups in various institutions are as follows:

- (i) **Role in legislature:** These groups try to send their chosen persons into the legislature. They also help political parties during elections and preparing manifesto.
- (ii) **Role in executive:** These groups try to fill high executive posts with their own people by which they can influence policy implementation processes.
- (iii) **Role in judiciary:** In appointment of judges.

Types of pressure groups

There are two types of pressure groups, sectional; and promotional. Sectional pressure are used to promote interests of specific groups or professional bodies and includes – trade unions; business and farming associations; churches; ethnic associations; pensioner groups and returned service personnel. Promotional pressure groups are made for specific cause. For example, World Wildlife Fund, Green peace, etc.

Check Your Progress

1. What do you understand by official and unofficial actors?
2. What are the informal channels in policy-making?
3. What are the important functions performed by the media in a democratic country?
4. What are the main functions of an electoral pledge/manifesto?
5. Mention the types of pressure groups.

7.7 ANSWER TO CHECK YOUR PROGRESS QUESTIONS

1. The official policymakers are those who possess legal authority to engage in formulation of public policy whereas unofficial policymakers do not occupy formal public positions or political offices.

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2. The informal channels in policy-making are individual citizen, media, political parties, and civil society organizations.
3. The important functions performed by the media in a democratic country are the following:
 - Formation of public opinion: The media provides information and also presents diverse viewpoints that help citizens from their own views of policy issues.
 - The media help to prioritize public policy issues that come to the attention of concern authority. The media serve as a hub of ideas and also help in determining what issues come to the attention of policymakers based on their independent assessment.
 - The unbiased media serve as an important watchdog over officials, providing checks on corruption, attention on matters of concern of larger good, unethical conduct and bureaucratic lapses.
 - The media provide an essential link between citizens and their governments.
4. There are three functions that an electoral pledge/manifesto can serve: provide a compendium of valid party positions; establish supremacy over all other policy positions that may be attributed to the party and thereby streamline the party's campaign, and use as a campaign tool to directly inform voters.
5. There are two types of pressure groups, sectional; and promotional.

7.8 SUMMARY

- Electorates are those who are eligible for voting in an election. The process of voting ensures political participation. Voting is a process for electorate in order to make collective decision followed by discussion, debate or election campaigns.
- In the backdrop of the recent political developments, some authors have claimed that the electorates in electoral democracies elect their representatives but hardly make any difference to the policies that will be perused.
- In a democracy, the electorates have a significant way to influence policy, government and those who are holding public offices.
- The process of policy-making involves government institutions, offices of interest groups, meeting of special commissions and planning organizations. In the process of policy formulation, various agencies are involved from both formal and informal channels.

- Citizens participation is expressed as the involvement of citizens in a wide range of activities that relate to the making and implementation of policy. For Campbell and Marshall and Anderson, citizen involvement means the ability of the public to take part or participate in the nation-states' processes and activities especially concerning preparation of public policy and the critical decision-making that affects their day to day lives.
- The demand for enhanced citizens' participation is highly appreciated in many policy areas. However, it is a recent trend to enhance more and more participation of individual citizen.
- In a democratic form of government, the public is pivotal and public opinion plays a major role in the policy-making process. The needs of citizens get expressed in the form of demands and are shaped through policy agenda of the political parties.
- The mass media play a significant role in the policy processes. The growth of electronic mass media became so popular and at the same time plays an important role to influence the policy processes.
- Through the media, individual citizens learn how policies will affect them, and the government receives feedback on their policies. The role of media is crucial in the liberal democratic system, here media critically scrutinize governmental affairs and it is considered as the 'fourth estate' of the government to ensure that the government can be held accountable by the public.
- Electoral pledges are selling policy to electorates by use of persuasive words in election pledges. Through this factor political parties can increase their electoral support by targeting different group of voters with different policies.
- Election pledges and its fulfillment are very relevant to the practice of representative democracy. If political parties channel societal demands into policies effectively then there is equivalence in election manifesto and government policies.
- Pressure group means a group of people who are organized for actively promoting and defending their common interests. The pressure groups are the connecting link between the government and citizens.

NOTES

7.9 KEY WORDS

- **Election Pledge:** It is a promise or guarantee made to the public by a candidate or political party that is trying to win an election.
- **Citizen Involvement:** It is a process which provides private individuals an opportunity to influence public decisions and has long been a component of the democratic decision-making process.

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- **Formulation of policy:** It consists of policymakers discussing and suggesting approaches to correcting problems that have been raised as part of the agenda. Sometimes, it is necessary to choose from among multiple potential paths forward.

7.10 SELF ASSESSMENT QUESTIONS AND EXERCISES

Short-Answer Questions

1. Write a short note on the concept of citizen involvement.
2. What are the ways to influence policy by an individual citizen?
3. What are the important functions of media in the policy-making process?
4. Briefly mention the significant contribution of the pressure groups in a democratic set-up.

Long-Answer Questions

1. Describe the role of individual citizen in influencing policy process.
2. How are the media and pressure groups important for the policy-making process?
3. Analyse the significant contribution of the electoral pledge in the policy-making process.

7.11 FURTHER READINGS

Moran, M, Martin Rein, and Robert E. Goodin. 2006. *The Oxford Handbook of Public Policy*. Oxford: Oxford University Press.

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UNIT 8 OFFICIAL POLICY MAKER: LEGISLATURE, EXECUTIVE AND BUREAUCRACY

*Official Policy Maker:
Legislature, Executive
and Bureaucracy*

NOTES

Structure

- 8.0 Introduction
- 8.1 Objectives
- 8.2 The Policy-Making Process and Implementation
 - 8.2.1 Policy and Policy Processes
- 8.3 Legislature
- 8.4 Executive
- 8.5 Judiciary
- 8.6 Answers to Check Your Progress Questions
- 8.7 Summary
- 8.8 Key Words
- 8.9 Self Assessment Questions and Exercises
- 8.10 Further Readings

8.0 INTRODUCTION

The main focus of the unit is to explore the roles of various institutions in policy-making. In the process of policy-making, numerous people, groups and organizations are involved. A few are directly involved or some have influence on the policy formation processes. For Wood and others, role could be defined in an organizational context as ‘a set of expectations for the behaviour of a person holding a particular office or position’. This definition could be employed over institutions and the people within the institutions. The role of institutions is clearly defined with the governmental set-up. The involvement of individuals and institutions are considered at each stage of the policy-making processes.

There are several models of political system developed with the evolution of state and politics and these models have their relevance in the policy-making process. In this process, people and institutions come together in their capacities to formulate policies for the society. Each component of the government such as legislature, executive and judiciary has their roles in the policy-making process. They are considered as official policymakers. According to Anderson, ‘the official policymakers are those who possess legal authority to engage in the formulation of public policy.’ The institutions which fall in this category are the legislators, the executive and the judiciary. Each of them has their own defined responsibilities. There are several actors involved in the process of policy-making but those who are holding public offices and positions are regarded as the actual policy makers.

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For Anderson (1979) and Egonmwan (1991), the public offices are categorized into two categories:

- (i) Primary policy makers, and
- (ii) Supplementary policymakers

The primary policy makers are those bodies who are empowered in the process of policy-making and these are also constitutionally acclaimed. It is the constitutional duty for these actors to formulate policies. In India, for example, they are the members of Parliament and the members of State Assemblies. It also includes the executive bodies.

The supplementary policy makers receive their authority to formulate the policy from the primary policymakers. They include concerned ministries, departments and other governmental agencies. In the process of policy formulation, there are politicians, all elected political office holders and those who hold political posts and offices. It also includes the chief executive (President), members of the Parliament and the members of the State Assemblies.

8.1 OBJECTIVES

After going through this unit you will be able to:

- Explain the role of the legislature in the policy-making process
- Elucidate the role of the executive in the policy-making process
- Discuss the role of the judiciary in the policy-making process

8.2 THE POLICY-MAKING PROCESS AND IMPLEMENTATION

Policy formulation is considered as part of the pre-decision phase of the policy-making process. In this process, there is need to identify a set of public policy alternatives to deal with the existing problems to resolve the same. All policies are goal oriented and these have priorities, cost benefit analysis and the externalities i.e., negative and positive associated with each alternative. The policy formulation is the most essential part of the policy-making process. This is the stage where decisions are made or expected to be made, consequently, at this stage the policy is deliberately shaped. Here, the role of legislatures and executives become very important.

The implementation of policies is a very significant stage in the policy-making process. At this stage, the formulated policies are put into action mode. In the earlier literature of policy studies, the focus was on the formulation of policy but later since 1970s the focus shifted towards implementation of the policy. In this context, there are two approaches that have been developed in the literature. The

top-down, ‘forward planning’ approach and the bottom-up ‘backward mapping’ approach. This is the stage in which policy is executed. In this stage, policy statements are translated into action.

*Official Policy Maker:
Legislature, Executive
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8.2.1 Policy and Policy Processes

The legislatures engage in the activity of policy-making, decision-making, allocation of values and law making process. These activities have consequences or impact on the other parts of the political system. Policy is outcome of the actions, activities and behaviour of public authorities on society or a particular section of society. According to Ilter Turan, policy is ‘all actions, activities, and behavior of public, institutions and persons in public roles which are patterned and which have consequences or impacts on a given society or some part of it in a given area of interest, concern or activity.’

Policy-making: The process of policy-making is a decision-centric and goal oriented process. It consists of two stages, formulation and execution. The first stage is formulation or decisional in which institutions and those who are associated with the public offices decide what actions should be taken, what activities will be carried out and also give a thought about the rules and mode of behaviour in a defined area. The second stage is execution where the decisions are implemented. Both the stages are important in policy-making because the first stage answers the question what is going to happen and the second deals with how it is going to happen.

The process of policy-making consists of four phases: initiation, formulation, implementation and evaluation. The process begins with the agenda setting which helps policy makers to prioritize problems to address. The problem discussed in various types of agenda before are put on the table. In the policy formation phase, solutions to problems are shaped and argued. This phase is characterized by intense negotiations between stakeholders (politicians, bureaucrats and other factions). The stakeholders fight for their needs, desires and personal interests over budgetary issues, political constraints or fighting to save or continue certain existing programmes. After an agreement amongst stakeholders, the initial legislation is passed but it continues whenever amendments are suggested. The next phase is policy legitimation, a policy is legitimate when it is moved through the legislative process. Once it passes the legitimacy test, it becomes the law of the land and can be implemented. The legitimacy of a policy is tested by the citizens; it is legitimate if citizens accept it. There is a possibility of rejection of the policy, if it is unacceptable to people. There are several instances, when a policy is taken back by the political power of the day. The policy implementation is a very important phase because this phase puts policies into action. In this particular phase, the responsibility passes from policy makers to those who are involved in the implementation process. The success and failure of any policy largely depends on this phase. A policy looks nice until implemented well. An outstanding policy on paper can be a great failure if it is not implemented well. The last phase in the policy-making process is policy

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evaluation, in this phase the policy makers conduct an evaluation to check its effectiveness in achieving its goal. The process of evaluation initiated either during implementation or the policy in question. In the policy-making process, the role of public actors is significant. Here, the legislature, executive and judiciary come into action.

8.3 LEGISLATURE

Legislature is one of the important constituents of the contemporary political system. Legislatures are elected by the citizens and are accountable to them. Public policies are formulated and approved by the legislature before they are enforced as a law.

The way of formulation of policy differs in different political systems. The legislators are considered the chief policy-makers. The legislators are primarily known as law-making and policy-making bodies. The legislatures are the connecting link between the citizens of the country and the nation. The process of decision-making in modern democracies is characterized by shared piece of work by the legislative and executive branches of the government. The policies enacted into law must be approved by the legislature. The elected legislators represent people in different constituencies. They are expected to highlight the issues, problems and demands of constituents and translate them into policy proposals. Such policy proposals go through the entire legislative processes i.e., reading, debating and scrutiny. After going through these processes, the proposed policies get the final approval from the legislatures. The formulated policies require policy programmes and actions and then the executives implement and evaluate the same. The policy proposals are developed and created by legislators along with people, fellow legislators and the executives. According to Singleton, there are certain functions of the Parliament or the legislatures:

- To consider, amend and pass legislation
- To supply money for the governance of the nation
- To question, publicize and investigate the actions of the government and the need of the community

The Parliaments and State Assemblies follow certain procedures and rules in introducing bills. Through the process of legislation a policy is given a concrete shape. A law is actually a legal and formal expression of policy. The Parliament has power to pass or repeal legislation. The government is responsible to draft legislations and introduce bills in the Parliament. It is also a provision for private members to introduce bills in the Parliament.

In modern democracies, the legislature and executive shared the decision-making responsibility. By the approval of the legislature most policy initiatives are enacted into law. Though it is a process of shared responsibility but there are certain contributions of legislature to the overall policy-making process. According to

USAID's Handbook on Legislative Strengthening, three primary functions of a democratic legislature are as follows:

- 1. Representation:** In the process of policy-making, legislatures identify the needs of citizens; they communicate and listen to their electorates.
- 2. Lawmaking:** This involves identifying problems, studying issues, receiving expert opinions and inputs, formulating policies and also giving approval and implementing those policies to resolve the issues.
- 3. Oversight:** Legislatures supervise the implementation of laws and policies by monitoring, reviewing and investigating government activities. They also make sure that government actions are transparent, accountable with the existing laws and regulations.

There are other functions performed by the legislatures. The involvement of citizens in decision-making makes democratic government legitimate. The legislatures represent the citizens in the Parliament so the policies are the outcome of citizens involvement and are thus, citizen centric. There are certain measures such as the accessibility of legislative sessions and members to the public, the information about legislative actions in public domain and media coverage of legislatures make the functioning of legislatures transparent. In the current scenario, the measures of transparency for legislatures are declined. Some of the legislatures only appear during the election campaign or are hardly accessible to the public. A legislature as a representative should have good contacts with citizens in that way they can give inputs in policy-making. This interaction makes legislation process smooth and other civil society organizations, pressure groups and interest groups also play a productive role in the process. Under a proactive legislature, policy formulation is a product of informed decision-making and is well thought out and drafted. An accountable legislature makes sure policies are being implemented reasonably and efficiently. There are other functions of monitoring and inspection is also carried out by the legislature. The legislative structure and country's landscape permits the legislature to do activism or to perform for their electorates. In addition to that lawmaking, oversight and representation depends on organizational structure of legislatures.

The legislatures are supposed to come up with the policies that benefit all but there are certain factors which point fingers towards the responsibility and working style of legislatures in the current political scenario. There has always been division in the orientation of political parties that divide parties into right, left and centre orientation. They followed different ideologies to promote and propagate parties' stand on various issues and problems of the constituents. Nothing wrong in that, political parties can go with any ideologies but the legislators are fragmented not only in their party line but also along religious, caste and ethnic and linguistic lines. While doing so, they overlook to initiate and formulate policies that will benefit majority of the population. The number of powerful persons and celebrities is increasing day by day in the politics as legislators that make politics a non serious

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business where they lack the intellectual depth, professionalism and a set of skills to deal with the complex societal problem of the day.

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8.4 EXECUTIVE

The executive branch of the government plays a significant role in the policy processes. They run the administration of the country. They are permanent in nature and there is a distinction between the political and non-political executive or permanent executive. The political executives are those who are the real executives and responsible to the legislature in a Parliamentary form of government and they are not permanent. Non-political executive is permanent which includes bureaucrats or civil servants. It is the responsibility of the political executive to take policy decisions and also sets guidelines of administration.

In a democratic form of government, public policies are formulated by political executive. Political executives are known by many names such as President, Prime Minister or Premier, Chairman, etc. The functions, duties and powers of executives vary. All political executives are not powerful. Genuine powers make them powerful, for instance, American President is very powerful because he/she has the power to enact and implement laws and regulations. Sometimes, they are symbolic or ceremonial such as the British Queen and Indian President. The political executive is in the centre stage of leadership in the political system and the most important structure in policy-making. Generally, political executives initiate new policies. They also oversee the implementation of policies.

In the Parliamentary form of government like India, the President is the head (titular) of the State and the Prime Minister is the head of the government who is also the leader of the majority party in the Parliament. The Prime Minister has a special position and in centrality in the public policy-making and other ministers enjoy the subordinate position. The Prime Minister as head of the Council of Ministers has exceptional responsibility to observe that the institution functions as a team and also collective responsibility gets delivered. The Prime Minister's role in policy-making is very significant because he oversees the implementation and also those who are involved in the process. The Prime Minister's power is not constant; it varies according to the strength, style, ability and the experience and commitment of his colleagues. It also depends on the personality of the individual and support and acceptance in his cabinet, the strength of the party in the Parliament and socio-political and economic conditions of the day.

In the Presidential form of government, for example, in United States, the President plays a crucial and central role in the policy-making process. To be specific, the President plays dominant roles in the initiation, formulation and implementation phases of the policy processes. In this context, it can be said the era is executive-centered because the effectiveness of the government depends

on the executive leadership both in formation and execution of policy process. In this form of government, the President is supposed to provide legislative leadership too. According to Anderson (1979), the President has great constitutional powers and operating freedom in the area of foreign and military policy, especially in the United States of America. Foreign policy is very crucial for any country, hence, role of Presidential leadership and action become so significant. A strong government comes up with a strong foreign policy. The policy of foreign affairs is the domain of the executive in any other political system. In developing countries, the power is concentrated in the executives. Thus, the executive has more say and influence in forming public policies and the process.

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8.5 JUDICIARY

The theory of separation of powers propagates clear division of powers among the three organs of the government—the legislature, executive and judiciary. In the process of policy-making, the legislature lays down the laws which are implemented by the executive, and the responsibility of judiciary to adjudicate upon the laws.

The judiciary consists of judges and the courts. The prime function of the judiciary is the interpretation of the laws and also adjudicates in conflicts between individuals, groups, governmental institutions and federal units of the government. The judiciary is not constitutionally empowered to initiate, formulate or implement policies. However, through the interpretation of laws and constitution, the judiciary contributes in the process of policy-making process. According to Egomwan (1991), there are four instruments through which the judiciary takes upon policies. The instruments are as follows:

- (i) Judicial review
 - (ii) Statutory interpretation of cases brought before the judges
 - (iii) Cases on economic matters
 - (iv) Judicial activism
1. **Judicial review:** It is the power of the courts to check the constitutionality of the actions of the legislative and executive branches of the government and have the power to declare them unconstitutional and null and void. It is also understood as a form of court proceeding where lawfulness of a decision or action is reviewed by the judges.
 2. **Statutory interpretation of cases brought before the judges:** This is the power of the courts that interpret the meaning of constitutional provisions. The judges in the court room interpret the constitutional provisions and whatever interpretation they give they are obligatory to all parties involved.
 3. **Cases on economic matters:** This instrument deals with the decisions of court on matters such as contracts, ownership of property and employer-

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employee relationship. When these matters come before courts, the decisions can translate to policy-making.

- 4. Judicial activism:** Judicial activism refers to the regulation of social and political activities. If the government fails to give attention to any issue then the court comes in picture in order to satisfy legal and constitutional obligations. Through judicial activism, the judiciary engages in judicial interventions which not only modify the policies but also redirect policies and action and also moderate implementation activities.

Check Your Progress

1. What categories of public offices have been described by Anderson and Egonmwan?
2. Who are primary policy makers?
3. Name the four phases of the policy-making process.
4. What are the functions of the Parliament or the legislature according to Singleton?

8.6 ANSWER TO CHECK YOUR PROGRESS QUESTIONS

1. According to Anderson and Egonmwan, the public offices are categorized into two:
 - (i) Primary policy makers, and
 - (ii) Supplementary policymakers
2. The primary policy makers are those bodies who are empowered in the process of policy-making and these are also constitutionally acclaimed. It is the constitutional duty for these actors to formulate policies. In India, for example, they are the members of Parliament and the members of State Assemblies. It also includes the executive bodies.
3. The process of policy-making consists of four phases: initiation, formulation, implementation and evaluation.
4. According to Singleton, there are certain functions of the Parliament or the legislatures:
 - To consider, amend and pass legislation
 - To supply money for the governance of the nation
 - To question, publicize and investigate the actions of the government and the need of the community.

8.7 SUMMARY

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- Policy formulation is considered as part of the pre-decision phase of the policy-making process. In this process, there is need to identify a set of public policy alternatives to deal with the existing problems to resolve the same.
- The implementation of policies is a very significant stage in the policy-making process. At this stage, the formulated policies are put into action mode. In the earlier literature of policy studies, the focus was on the formulation of policy but later since 1970s the focus shifted towards implementation of the policy.
- The legislatures engage in the activity of policy-making, decision-making, allocation of values and law making process. These activities have consequences or impact on the other parts of the political system.
- The process of policy-making consists of four phases: initiation, formulation, implementation and evaluation. The process begins with the agenda setting which helps policy makers to prioritize problems to address.
- Legislature is one of the important constituents of the contemporary political system. Legislatures are elected by the citizens and are accountable to them. Public policies are formulated and approved by the legislature before they are enforced as a law.
- The Parliaments and State Assemblies follow certain procedures and rules in introducing bills. Through the process of legislation a policy is given a concrete shape. A law is actually a legal and formal expression of policy.
- The legislatures are supposed to come up with the policies that benefit all but there are certain factors which point fingers towards the responsibility and working style of legislatures in the current political scenario.
- The executive branch of the government plays a significant role in the policy processes. They run the administration of the country. They are permanent in nature and there is a distinction between the political and non-political executive or permanent executive.
- In the Presidential form of government, for example, in United States, the President plays a crucial and central role in the policy-making process. To be specific, the President plays dominant roles in the initiation, formulation and implementation phases of the policy processes.
- The theory of separation of powers propagates clear division of powers among the three organs of the government— the legislature, executive and

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judiciary. In the process of policy-making, the legislature lays down the laws which are implemented by the executive, and the responsibility of judiciary to adjudicate upon the laws.

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8.8 KEY WORDS

- **Policy:** It is a statement of intentions to guide decision-making. It is also translate vision to action. “Policy is a decision making framework or course of action to achieve a desired effect or change.”
- **Decision:** It is a choice made between two or more available alternatives.
- **Decision-making:** It is the process of examining best possible options, comparing them and choosing reasonable alternative. It is a process of choosing the best alternative for reaching course of action.
- **Governance:** It is the process of decision-making and the process by which decisions are implemented.
- **Judicial Review:** It is the power of the courts to check the constitutionality of the actions of the legislative and executive branches of the government and have the power to declare them unconstitutional and null and void.
- **Judicial Activism:** It refers to the regulation of social and political activities.

8.9 SELF ASSESSMENT QUESTIONS AND EXERCISES

Short-Answer Questions

1. What are instruments through which the judiciary takes upon policies?
2. What are primary functions of a democratic legislature?
3. What are the primary functions of a democratic legislature according to USAID’s Handbook on Legislative Strengthening?

Long-Answer Questions

1. Describe the role of legislature in policy-making.
2. Examine the contribution of executive and judiciary in the policy-making process.
3. Explain policy-making processes and implementation.

8.10 FURTHER READINGS

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BLOCK IV
POLICY IMPLEMENTATION AND EVALUATION

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**UNIT 9 POLICY
IMPLEMENTATION:
MEANING AND ELEMENTS
IN IMPLEMENTATION**

Structure

- 9.0 Introduction
- 9.1 Objectives
- 9.2 Meaning of Policy Implementation
- 9.3 Institutions That Carry Out the Process of Policy Implementation
 - 9.3.1 Features of the Policy Implementation Process
 - 9.3.2 Elements of the Policy Implementation
- 9.4 Answers to Check Your Progress Questions
- 9.5 Summary
- 9.6 Key Words
- 9.7 Self Assessment Questions and Exercises
- 9.8 Further Readings

9.0 INTRODUCTION

The only constant is change itself, stated by the renowned Greek philosopher Heraclitus, holds true in relation to the days that have passed by, that are here now and that which will come later on. As an individual living in the society, one is very familiar with the process of change itself. Governments change and so do the policies they implement over a period of time. Thus, it can be stated here that change is an important part of the overall process that takes place in the human society.

In order for the society to function at its fullest, it is necessary to have many policies implemented in place as these policies provide legitimacy and structure to the human society. Governments can function properly only when there are proper policies in place that cater to the needs to the general public. In contemporary times, the very concept of public formulation and implementation is gaining momentum as it is becoming a widely researched topic.

Policy formulation and implementation is an integral aspect of politics itself and promotes the rise of proper channels of action. The presence of policies enables

the creation of a system that is based upon interaction and feedback mechanisms. By doing so, an environment is created that leads to socialization, interest generation and communication between various socio-political sectors and levels. The environment also responds to the various needs and demands of the society by coming up with the creation of further new policies, programmes, decisions and changing existing policies as well. This creates an ecosystem wherein both politics and policies are interdependent upon each other and thereby lead to the creation of a robust political system.

Policy implementation gained prominence in the 1970s. The rise and fall of a policy is dependent upon the way it is implemented. The overall process of implementing a policy is complex in nature that starts from coming with specific content for the policy to achieving the objectives and goals of the policy.

Policies are made by government bodies and institutions and implemented by them as well. Apart from governmental bodies and institutions, there are many non-governmental organizations and institutions that also play a pivotal role in the implementation of various policies. However, in contemporary times it is being seen that when a policy performs negatively, it is generally due to the fact that the implementation process has faced or undergone some issue/problem. These problems and issues range from the content of the policy not being written properly, presence of legal jargons and terminologies that are hard to explain, lack of forethought, lack of adequate staff, problems pertaining to finance and infrastructure, lack of time and help, unachievable targets, generation of pressure from various political sectors, uncooperative citizenry, rise of pressure and interest groups who fight for their vested interests, lack of proper will to implement the policy, lack of proper initiative to implement from the implementors, presence of corruption and various other malpractices in the administrative sector, shifting of accountability etc., are some of the problems and issues faced by the policy implementers.

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9.1 OBJECTIVES

After going through this unit, you will be able to:

- Explain the meaning of policy implementation
- Identify the elements of policy implementation
- Analyse the significance of policy implementation

9.2 MEANING OF POLICY IMPLEMENTATION

In order for a policy to be effective, it is important that it is implemented as soon as possible. Therefore, it becomes important to understand the nature of the term

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‘implementation’. Generally, implementation means to carry out order, accomplish various goals and objectives, fulfil orders, etc. Implementation creates a system of control in relation to the policy and its area of operations.

Implementation is a connecting link between objectives and the ways to achieve the desired goals. Implementation consists of a series of logical procedures that transform pronouncements into action which lead to the implementation of programmes and policies via the use of various management procedures and processes. Hence, it can be stated here that policy implementation is the accomplishment of various goals and objectives of a policy via a proper planning process to create a desired impact throughout the various levels of the society. From a definition perspective, policy implementation can be stated as the need or the ability to achieve the various objectives of a said policy. Policy implementation can also be defined as a set of rules or procedures to fulfil the goals of a policy at hand. In short, there is no proper definition for the term itself.

Policy implementation is an important part of the overall process with a policy that aims at bringing benefit to the people. As mentioned before, it is a lengthy and complex process that starts with coming up of specific issues and content for a policy to achieving the objectives of the policy itself. The success and failure of a policy is heavily dependent upon the way in which a policy is implemented. Initially, the process of implementation was seen as an administrative task and that after the approval of a policy, it would be merely implemented without any further process. However, it was later seen that this type of thinking was detrimental in nature and caused more harm to the general public and the society.

Implementation of policies consists of various actions that are carried out by various individuals in order to achieve various objectives which form the very core of the policy itself. Therefore, it can be said that policy implementation is an overall effort wherein individuals from all levels of the society and the government come together in order to achieve various objectives and goals of a policy. Policy implementation can also be defined as the use of various development and programming procedures to achieve the objectives of policy, and thus, come up with the desired outcomes and impacts. This creates a multi-dimensional nature for policy implementation that is based upon the use of various development and programming procedures. Thus, it can be said that policy implementation is the achievement of the various goals and objectives of a policy via the involvement of various actors who are either public or private or are NGOs and function through the use of various development and programming procedures.

Policy implementation is a political process in itself and is therefore concerned with the allocation of resources. Since, it is political in nature therefore the overall process of policy implementation consists of a plethora of actors which can be a problem in itself as well. However, policy implementation is there due to

communication between the various actors who have their point of views, interests, etc. The actors involved in the policy implementation process come up with the issues that need to be talked about, setting up the objectives, etc. The implementation process goes through a number of steps that range from setting sights on a particular issue to debates and discussion with various political actors and agencies tasked with the implementation process to the selection of target groups for whom the policy is being created to the impact of the process of implementing a policy to bringing forth important changes in the policy after its implementation is carried out.

The process of implementation is setting up of various goals and objectives that a particular policy will achieve and the necessary steps in order to do so. Implementation is a connecting link whose main job is to attain the consequences that are stated within a particular policy. In a nutshell, it can be stated that implementation is a process wherein a policy is put into effect and strives to achieve the various goals and objectives of a policy by coordinating between various aspects of the process itself.

When it comes to policy implementation, few things should be kept in mind. These are as follows: firstly, implementation of a policy can only occur when a particular policy is based around an issue that plagues the society; secondly, the very nature of a policy; thirdly, those who are involved in the overall policy process, and lastly, the context of the policy in accordance to which it must be implemented. Proper effective implementation is necessary for the policy to work for the upliftment of the society. The success of implementing a policy also depends upon the ability and enthusiasm of those who implement the policy. Also, a policy can be successfully implemented based upon the pressure that makes the policy implementors divert their attention and focus towards the fulfilment of the various objectives of the policy and this in turn increases the support for the implementation of the policy in an effective manner.

9.3 INSTITUTIONS THAT CARRY OUT THE PROCESS OF POLICY IMPLEMENTATION

The need to promote equality and in the process empower the individuals residing within the society has been the cornerstone of a democratic government. By doing so, development spreads towards each and every part of the socio-cultural fabric. When it comes to policy implementation, it is necessary to note here that the overall scope of the policy is heavily dependent upon the issues around which the policy revolves and the institutions and the actors who are involved in the implementation process. Individuals and institutions in the public and private sectors of the society play an integral part in the implementation of various policies that are geared towards a particular issue at hand. The main duty of the institutions that are

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associated with carrying out policy implementation are that they have to identify the issue and understand it and, in the process, come up with opportunities that enable the creation of a network which further leads to collaboration to provide maximum impact for the policy to benefit those for whom it is being implemented. The various institutions that play an active role in the policy implementation process include administrative institutions, legislative institutions, institutions that are judicial by nature, non-governmental agencies, pressure groups & interest groups, various other political institutions, etc.

Administrative institutions include various ministries and the institutes under them for a particular issue at hand. An important point that one should note here is that for a particular issue one ministry and the departments under it, will be looking into the process of policy implementation. This does not mean that other ministries and their departments will not be involved in the policy implementation process. In fact, other ministries and their departments provide a wide range of support, when it comes to the implementation of various policies by providing new dimensions to the policy and this makes the policy more flexible and encompassing. The role of various institutions and the administrators play a pivotal role in the process of the implementing a policy. They implement the policies that are formulated by the policy formulators. Those involved in the implementation of the policy, from an administrative perspective, have to implement the policy based upon the commands provided to them by the executive, the legislative and the judiciary. Those in the administration, like the bureaucrats, have to implement the policy, which in turn are based upon the obligations of the government towards the people of the nation. Those in higher positions in the administrative structure pass along a set of instructions to the various staff members to implement the policy that has been formulated. However, we know that in recent decades many of the individuals who are given the power to administer over the people are easily being swayed towards corruption and various other administrative malpractices to fulfil their own ambitions, goals and objectives. This has created a negative image for the bureaucratic set-up. And yet, it is to be noted here that without the bureaucrats, it would be very difficult for the government machinery to implement its own policies throughout the length and breadth of a nation under its rule.

Administrators play an important role in the implementation of various policies as they know the importance and need of a policy that has been formulated. Policies are formulated and implemented because the general public demands for them. Since the administrator is aware about the general mindset of the public; therefore; it becomes important for the administrators also to provide insight to the policy makers in relation to particular issues upon which the policy is being formulated. Apart from providing insight to the policy formulators, the administrator can carry out the various processes in relation to the mobilization of various resources that are necessary for the implementation of various policies. In order

to implement various policies, it is necessary for the administrator to be a level-headed individual who is also rational by nature and is knowledgeable, when it comes to the use of various necessary techniques to implement the policies. Administrators need to be far-sighted as well when it comes to the analysis, planning, training of staff members and budgeting in relation to policy implementation. In order for a policy to be successfully implemented, it is of paramount importance for the administrator to have the necessary number of resources when it comes to the implementation of the various objectives of a policy; and simultaneously; the administrator should be collecting the necessary data and information to provide a feedback mechanism to the policy formulators. The administrators also need to be touch with various other institutions, agencies, NGOs on issues for which a policy is being implemented. In this manner, the administrator will be the one who will benefit the most as they can implement various policies in a seamless manner. The administrators serve as a connecting link between the legislature and the people themselves. The administration has enormous control over the policy implementation process as they are the ones who help formulate the various policies alongside the government institutions tasked with the duty. The implementation of the policy by the administrator makes the people believe in the current political system and enables the government to gain access to a rare form of currency known as 'Public Trust'.

Like the administrators, the presence of various legislative institutions is necessary for the implementation of various policies as well. Unlike the administrative bodies that play a direct role in the implementation of various policies, the legislative bodies mostly have an indirect and limited role in the implementation of the policy itself. However, this limited and indirect role is important in itself as the various legislative institutions are constantly examining, and at the same time, critiquing the actions of the administrators when it comes to the implementation of the policy itself. The legislative bodies have various discretionary and delegative powers to them in relation to the implementation of the policy by the administrator and also influence the behaviour of the administrative institutions in many ways. The presence of legislative bodies is necessary for policy implementation as they have the ability to come up with proper mechanisms that monitor as to whether the policy is providing adequate opportunities to all and that the policies that are to be implemented are not discriminatory in nature.

After the administrative and the legislative bodies, next are the judicial bodies and institutions that play a pivotal role in the implementation of various policies. In most of the democratic nations, including India, most of the laws, rules and regulations have been implemented due to the presence of a strong and independent judiciary. Most of the acts and laws have come into existence due to the interpretations put forth by the judiciary itself. Because the courts have the power to interpret the rules of the land and judicial review, therefore, they play an important

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role in the implementation of policies. The formulation of many policies and their implementation take place due to the decisions that have been passed by the judiciary themselves. The judicial system can either help speed the process of policy implementation or obstruct as well. This ability to either speed up the process or stop the overall process of implementation is there due to the courts ability to interpret the law. If the orders that have been passed by the administration itself create any kind of obstacle in the path of exercising the fundamental rights by an individual or the Constitution itself, then the judiciary has the power to halt the decision and thereby review the policy itself to make sure it is pro-Constitution and pro-fundamental right. Thus, it can be said here that the judiciary plays an important and constructive role when it comes to policy implementation.

Other institutions such as pressure groups, interest groups and NGOs also play an important role in the policy implementation process. In a welfare and democratic nation, these groups have helped a lot in promoting the overall development of the society. NGOs play an important role in policy formulation and implementation as they advocate their viewpoints on one hand and on the other, they also sensitize those involved in the policy-making process by bringing forth the concerns of the general public in relation to various policies. Civil society groups' help in the creation of public opinion and at the same time, on behalf of the general public, can communication with those involved in the policy implementation process. Various NGOs, civil society groups etc., enable the policy implementors to diversify their implementation process by providing them with the necessary personnel and expertise in relation to the issues pertaining to the policy implementation process. Pressure and interest groups promote vested interests which come in the form of policies that at times benefits certain sections of the society and therefore creates an easy transition path for the policy implementors to implement their policy.

Lastly, the presence of various political structures further strengthens the process of implementing the policy in a smooth and easy manner. Political structures such as the political parties in opposition, various political agencies and other individual politicians play an important role in the implementation of policies, and thus, lead to overall development in all policies, activities, systems etc.

9.3.1 Features of the Policy Implementation Process

When it comes to the implementation of policy, it is to be noted that there are various features of the implementation process that is carried out by the institutions and the administrators involved in the process. These features are as follows:

Firstly, in order to implement a policy, it is important that the all the members are a part of a group which makes it more efficient when it comes to the overall policy implementation process.

Secondly, like allocation of resources takes place, similarly in the case of implementation of a policy, it is important for the delegation of who gets what to do, when to do, which should be based on one's qualifications and experience so the impact of policy is felt across all levels of the society.

Thirdly, the ability to carry out the necessary decisions in relation to the policy implementation process is very important. When it comes to the policy implementation process, it is necessary for those involved in the implementation process to be ready to take the necessary decisions in relation to known and unknown events and activities.

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9.3.2 Elements of the Policy Implementation

In order to successfully implement a policy, it is necessary to have the following elements associated with the implementation process:

The first and foremost element of the policy implementation process is to know about the various objectives and goals pertaining to the policy implementation process.

The second element is having access to various resources such as personnel who are qualified, experienced and knowledgeable and simultaneously having access to the various financial resources that is important for the implementation process.

The third element is the ability to control and put to use these resources in such a manner so that the people are the ones who will benefit the most. Also, by controlling the resources, a proper direction is provided which makes it easier to implement the concerned policy.

The fourth element is the ability to communicate with all the stakeholders in the implementation process so as to effectively implement the policy via providing the necessary boost to the overall performance of the stakeholders so as to effectively implement a policy.

The last element is having the necessary support system from the three pillars of the democratic set-up so as to successfully implement a policy.

To conclude, policies framed by the government for the benefit and overall development of the people can fail to deliver, if they are not implemented in an effective manner. The policy that fails to have an impact on the society and the general public does so because it lacks either of the above-mentioned elements of policy formulation. Therefore, for a policy to be implemented properly, it is necessary to integrate these elements in the policy implementation process.

Conclusion

Policy implementation is an integral part of the overall policy process. It is a complex and extensive process which starts from policy content designing to the achievement

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of the results, objectives and goals of the policy itself. The implementation of the policy depends upon the content, framework, nature and actors. When it comes to policy implementation, it is important to note that for a policy to be successfully implemented it is necessary to formulate and disseminate the policy in a proper manner; the policy should be based upon a particular context that has garnered importance from the society and the political circles; the presence of leadership qualities in those who are working towards the implementation of the policy; involving everyone in the policy implementation process; mobilization of the resources in a planned and phased manner and lastly feedback.

Policy implementation involves numerous elements as well which provide a proper shape to the process of implementing a policy. Many subject experts have stated that various elements play a pivotal role in the policy implementation process. Apart from the elements, it is important to note that various institutions also play an integral role in the policy implementation process. Institutions such as the administrators and the administrative institutions; legislative institutions; judicial institutions; pressure and interest groups; NGOs etc., are involved in the implementation of policies in specific areas. When it comes to the implementation of various policies, the above-mentioned institutions face many issues and problems that include resistance from other groups, negative use of power that hampers the implementation process, inactiveness from the general public, lack of interest from within the institution and outside the institution, shifting of responsibility, and lastly, the lack of necessary funds and resources.

In order to successfully implement various policies, it is necessary to have an effective monitoring system in place which in turn enables the administrators and various other institutions to fine tune into the feedback that is being generated and thereby effectively manage the policy and its objectives and goals.

Check Your Progress

1. Define the term policy implementation.
2. Name the various institutions that play an active role in the policy implementation process.
3. State the first and foremost element of the policy implementation process.

9.4 ANSWERS TO CHECK YOUR PROGRESS QUESTIONS

1. Policy implementation can be defined as a set of rules or procedures in order to fulfil the goals of a policy at hand.

2. The various institutions that play an active role in the policy implementation process include administrative institutions, legislative institutions, institutions that are judicial by nature, non-governmental agencies, pressure groups & interest groups, various other political institutions, etc.
3. The first and foremost element of the policy implementation process is to know about the various objectives and goals pertaining to the policy implementation process.

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9.5 SUMMARY

- In order for a policy to be effective, it is important that it is implemented as soon as possible. Therefore, it becomes important to understand the nature of the term ‘implementation’.
- Implementation is a connecting link between objectives and the ways to achieve the desired goals.
- Policy implementation is an important part of the overall process with a policy that aims at bringing benefit to the people.
- Implementation of policies consists of various actions that are carried out by various individuals in order to achieve various objectives which form the very core of the policy itself.
- Policy implementation is a political process in itself and is therefore concerned with the allocation of resources. Since, it is political in nature therefore the overall process of policy implementation consists of a plethora of actors which can be a problem in itself as well.
- The process of implementation is setting up of various goals and objectives that a particular policy will achieve and the necessary steps in order to do so. Implementation is a connecting link whose main job is to attain the consequences that are stated within a particular policy.
- The need to promote equality and in the process empower the individuals residing within the society has been the cornerstone of a democratic government. By doing so, development spreads towards each and every part of the socio-cultural fabric.
- Administrative institutions include various ministries and the institutes under them for a particular issue at hand.
- Administrators play an important role in the implementation of various policies as they know the importance and need of a policy that has been formulated.

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- After the administrative and the legislative bodies, next are the judicial bodies and institutions that play a pivotal role in the implementation of various policies.
- Other institutions such as pressure groups, interest groups and NGOs also play an important role in the policy implementation process. In a welfare and democratic nation, these groups have helped a lot in promoting the overall development of the society.
- When it comes to the implementation of policy, it is to be noted that there are various features of the implementation process that is carried out by the institutions and the administrators involved in the process.
- The first and foremost element of the policy implementation process is to know about the various objectives and goals pertaining to the policy implementation process.
- Policy implementation is an integral part of the overall policy process. It is a complex and extensive process which starts from policy content designing to the achievement of the results, objectives and goals of the policy itself.
- Policy implementation involves numerous elements as well which provide a proper shape to the process of implementing a policy. Many subject experts have stated that various elements play a pivotal role in the policy implementation process.

9.6 KEY WORDS

- **Implementation:** It is a connecting link between objectives and the ways to achieve the desired goals.
- **Pressure group:** It is an interest group that attempts to influence legislation through the use of lobbying techniques and propaganda.
- **Feedback:** It can be defined as an assessment of the work done by any department or the result of a process.

9.7 SELF ASSESSMENT QUESTIONS AND EXERCISES

Short-Answer Questions

1. What are the different parameters to be considered while implementing a policy?
2. Write a short note on the significant role of the administrative institutions in

the process of policy implementation.

3. Identify the prominent features of policy implementation.

Long-Answer Questions

1. 'The rise and fall of a policy is dependent upon the way it is implemented.'
Explain the statement.
2. Explain the role of the judiciary in the process of policy implementation.
3. Discuss the significant elements of policy implementation.

9.8 FURTHER READINGS

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UNIT 10 APPROACHES TO POLICY IMPLEMENTATION

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Structure

- 10.0 Introduction
- 10.1 Objectives
- 10.2 Policy Implementation Process
- 10.3 Approaches to Policy Implementation
 - 10.3.1 Top-Down-Model
 - 10.3.2 Bottom-Up-Model
- 10.4 Answers to Check Your Progress Questions
- 10.5 Summary
- 10.6 Key Words
- 10.7 Self Assessment Questions and Exercises
- 10.8 Further Readings

10.0 INTRODUCTION

Policy is the formulation and use of various laws, regulations, procedures, actions taken by the administrators, government institutions, etc. The policies that are formulated operate at various levels of the society and therefore, influence various existing complex systems.

A policy when implemented properly leads to positive changes in the society. When it comes to a nation, there are different types of policies that work at various levels of the nation itself. For instance, the laws and ordinances that are there in a nation are created by the legislature and therefore are called as jurisdictional policies. Similarly, various rules, guidelines, principles, methods etc., that aim at the regularization of the various aspects of the society are known as supervisory policies. Simultaneously, policies that aim to provide structure to an agency/organization are known as administrative policies.

As you have learnt in the previous unit, implementation means to carry out, accomplish a set of goals and objectives. Policy implementation can be defined as the actions that are carried forth by the various officials in the public or the private sector whose aim is the achievement of various goals and objectives as mentioned in the policy that is to be implemented. Policy implementation is carried out through the use of various planning and programming procedures. As a concept, policy implementation is multi-faceted and multi-dimensional which makes it difficult to define. For instance, implementation is achievement of policy objectives and goals; while at the same time, it is also a process wherein everything is done in a systematic manner to achieve the said policy goals and objectives. Therefore, it can be said that implementation is an achievement of sorts, and at the same time, is a process in itself and both take place simultaneously. When it comes to policy implementation,

it is to be noted that a particular policy can fail either due to not following the correct sequence of steps or due to the use of a different methodology to achieve the results of the policy or due to the fact the steps did not produce the desired result. Another point that needs to be made here is that some believe that the process of policy implementation is administrative in nature while many believe the process is more inclined to the managerial side of works but the truth is that the process of policy implementation is a mixture of both management and administration which in turn gives a political aspect to the policy implementation process. This political aspect is created because the implementation of policies decides the allocation of resources to the concerned group/level of the society in which the policy is being implemented. Thus, this multi-faceted and multi-dimensional nature of the policy implementation process proves that there is a presence of multiple players in the policy implementation process; and therefore, occurs as a series of interactions between a plethora of actors who have their own interests, agendas, goals and objectives.

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10.1 OBJECTIVES

After going through this unit, you will be able to:

- Identify the essential parameters for efficient policy implementation
- Discuss the advantages and disadvantages of the Top-Down-Model Approach and Bottom-Up-Model Approach

10.2 POLICY IMPLEMENTATION PROCESS

As mentioned in the previous units, the most important part of the overall process associated with a policy is policy implementation itself. As per subject experts, most of the problems associated with the policy process arise during the policy implementation process. These problems arise due to the improper way of implementing the policy by the administrator or by those in the executive positions. Thus, here arises the need to change the overall process of policy implementation which can be carried out in the following manner:

First and foremost, those at the very top of the policy implementation process should be knowledgeable in terms of the overall content and context of the policy, its goals and its objectives.

Secondly, the target areas should be clearly specified and be made clear to the implementors as well. In this manner, the very top executive to the bottom down official, everyone would be clear as to what needs to be done when it comes to the policy implementation process.

Thirdly, allocation of tasks needs to be carried out by those at the very top of the policy implementation process. Division of various tasks and duties needs to take place in a phased manner which again needs to be planned in a systematic manner. By doing so, those involved in the process of implementing a particular

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policy will be able to carry out their work in an effective and efficient manner.

Fourthly, there needs to be prioritization of resources. These resources can range from staff power to monetary resources to infrastructure resources. By prioritizing the resources, it becomes easier for the administrators to know where to use what type of resources and in case there is a lack of resources, it becomes easier for the policy implementors to notify the higher authorities and ask for additional resources. At the same time, they can use the available resources in an optimized manner so as to implement various policies in an efficient manner.

Fifth, the need to educate the staff is also of paramount importance as the educated staff is essential for policy implementation. Staff that knows the content, context, goals and objectives of a policy will only aid in the proper implementation of the policy. Also, the educated staff will educate the general public in relation to the policy and thereby aid in the proper implementation of the policy; and thus, achieve the objectives and goals in a seamless manner.

Sixth, the implementors of the policy need to generate support from the general public and enable the people to present forth their opinions with reference to the policy that is being implemented or has been implemented. By doing so, the policy implementors enable in the creation of a space that enables the general public to come forth and present their viewpoints in a democratic manner. This also makes the public trust the government. Simultaneously, the government also changes its picture and perception in the minds of the people and the world.

Lastly, in order to implement a policy in a seamless manner, there is a continuous need for monitoring and assessment of the policy and the implementation process through the creation of a feedback mechanism and through the disposition of obtainable capital.

Apart from the various methods and process mentioned above in relation to the policy implementation process, there are other methodologies that can be followed by the policy implementors to implement the policy in a much more seamless manner. These methodologies are as follows:

Firstly, it is necessary for the policy implementors to not to succumb to the pressure that is generated by the political circle. When those involved in the policy implementation process carry out their jobs and duties, they are always under constant pressure from politically active individuals who are either in power or in opposition. Therefore, it is of paramount importance that the policy implementors strengthen their institutions and offices so that they are able to say no to the political pressure that rises from various political sectors. Apart from the pressure that is generated from the political circles, it is necessary for the policy implementors to tackle the pressure that is generated from various other circles such as NGOs, the general public etc., to implement various policies. Pressure is to be resisted and positive criticism is to be allowed in order to increase the trust of the public in government agencies and vice versa.

Secondly, those involved in the implementation of various policies from an administrative perspective should adhere to certain morals and ethics. They must

not indulge in any kind of negative practices, help in the creation of an environment that is advantageous by nature, proper allocation of resources in order to achieve the goals and objectives of the policy that is to be implemented and lastly properly co-ordinate the overall implementation process.

Lastly, it is important for the policy implementation officials to be educated about the different aspects of the policy. The general public needs to be educated as well as the policy implementors and the general public are the two sides of the same coin. Educating both will only help in the proper implementation of the policy.

To conclude, when it comes to the policy implementation process the following methodologies and process need to be followed for the policy to be implemented in an operative, resourceful and accountable manner of policy implementation.

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10.3 APPROACHES TO POLICY IMPLEMENTATION

Before the 1970s, the implementation process was taken into consideration and the process of policy formulation was more important to the policy makers. However, with the progress of time policy makers saw that the goals and objectives of various policies after their implementation were not being achieved. The policy makers found that the implementation process of policies was not taking place in the same manner as policy formulation was going on. Therefore, the policy makers started to give the same the level of importance as policy formulation was and therefore many approaches were formulated in order to study the policy implementation policy. Some of the important approaches that were created by the researchers to strengthen the process of policy implementation are as follows:

10.3.1 Top-Down-Model

The Top-Down-Model is a policy implementation process wherein the various decisions in relation to a policy are carried in accordance to a statute, order by the executive or in accordance to the decisions/orders taken by the judicial system. The majority of decisions are taken by political actors who are centrally located to create a system of desired effects. The system of top-down-model approach is that the implementation process followed in this approach is based upon the creation of an ecosystem that aims at commanding and controlling at the same given time. This system of command and control is created between the government and the general public and is based upon the concerns and issues of the general public. The Top-Down-Model Approach is based upon the following points: firstly, there is the presence of vibrant and dependable objectives that are created by those who are at the very top of the hierarchical set-up; secondly, the use of information to create policies that are based on various issues, their causes and effects; thirdly, the presence of distinction between the highest and lowest levels of authority; fourthly, the creation of rules and regulations by the authorities at the top upon which policies are also based and lastly, the availability of resources to fulfil the orders that are put forth by the officials at the top.

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The Top-Down-Model Approach is said to be more rational, comprehensive when it comes to the policy implementation process as per subject experts and is used in many democratic nations wherein those who are elected by the general public in turn delegate the task of policy implementation to those officials like the bureaucrats and the civil servants who are not elected by the general public and by doing so the civil servant is answerable to the elected officials in a democratic set-up. However, a point to be noted here is that the Top-Down-Model Approach creates a system wherein those in power gain the ability to implement certain policies, via the civil servants answerable to them, a bunch of policies that the general public is unable to make sense of and thereby uses the very approach as a tactic to control and corral the general towards the achievement of those objectives and goals that benefit the government rather than the people. The approach states that the very process of policy implementation is the capability to create linkages in order to put the policies into effect. The approach also promotes the control of communication networks and resources to implement the policies in an efficient and effective manner. As per many subject experts, such an approach to policy implementation process creates a system wherein implementation can only be carried out in an effective manner when the following points are followed to the letter:

Firstly, the objective of the policies needs to be more tangible and detailed when it comes to assessing the performance of the policy.

Secondly, it is important that the resources that are to be used in the policy implementation process be made accessible to the policy implementors. With access to resources being given to the policy implementors, it becomes easier for the administrators to implement the policy in a manner that makes the policy more effective.

Thirdly, making the implementing agencies more self-reliant and independent by giving them the ability to control their characteristics and behaviour.

Fourthly, making the commercial, community and partisan areas for the policy implementation clear to the policy implementors and the people for whom the policy is going to be implemented.

Fifthly, giving the due importance to the policy implementors is necessary for the efficient implementation of a policy.

Sixth, announcement and synchronization need to be an important part of the policy implementation process.

Lastly, acquiescence needs to be demanded and obtained from the authority in the policy implementation process.

The Top-Down-Model Approach, according to many, is a policy implementation process that revolves around the concepts of struggle for power, vested interests and conflicts between two or many parties/individuals. The very process of policy implementation consists of negotiating, encouragement and manoeuvring between the government and the people. From this perspective,

policy implementation process wherein those who are interested in getting their interests fulfilled and thereby achieve their objectives and goals.

Top-Down-Model Approach has many advantages and disadvantages as follows:

The advantages of this type of approach are that firstly, the pronouncements can be made and implemented in a fast manner as the very process of policy implementation is done and carried out under a stipulated time period. Secondly, the approach acts as a connecting link between the goals and objectives of the policies to the objectives and goals of the institutions and the agencies that are involved in the implementation process. Thirdly, the use of resources is carried out in an intensive manner so as to implement the policies in an efficient and effective manner. Fourthly, implementation approach takes in a manner that is manageable and is therefore, the implementation of a policy is deeper than in the time that passes becomes more mature and impactful. Lastly, the procedure and preservation of possessions is not severely obstructed.

The disadvantages of this type of approach are that firstly, the implementation process does not take into consideration the decisions and actions that are necessary to the policy implementation process. Secondly, the policy implementation process under this type of approach might at times be dependent upon the viewpoints that are not related to the policy itself. Thirdly, the policy implementation process is more oriented towards the implementation of policy which in turn diminishes the importance of the legislature and the executive who in reality are the policy formulators and are as important as the policy implementors. Fourthly, this policy implementation approach ignores the people and the officials at the grassroots levels and give more importance to those at the top of the policy implementation process.

10.3.2 Bottom-Up-Model

As mentioned above, the Top-Down-Model Approach is unsuccessful as it does not promote effective and efficient implementation of the policy. Therefore, in order to successfully implement the policy, it becomes important to include conciliation and compromise-building in the overall delivery mechanism of the policy. This can be carried out by the use of Bottom-Up-Model Approach.

Under this method of policy implementation, the proponents and experts have stated that in order to implement the policy in an effective and efficient manner, it is necessary for the policy implementors to interact with those for whom a particular policy is being implemented. This is so because at the grassroots level those who implement the policy sometimes do not implement the policy as per the objectives promoted in the policy which leads to the production of outcomes different from those stated in the overall policy. Therefore, when it comes to using the Bottom-Top-Model Approach, it becomes important that the policy implementors formulate a strategy that is based on discussions with the target groups, individuals and institutions that deliver various services etc. Also, it is necessary for the policy implementors to deploy their various goals, objectives, strategies, activities etc., in such a manner wherein maximum attention is diverted

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towards the people for whom the policy is being implemented as they will be the ones who will feel the initial impact of the policy.

As per Michael Lipsky, who is said to be the founder of the Bottom-Up-Model Approach, policy implementation can be carried out in a perfect manner when the very process of policy implementation consists of negotiations and building of compromise. This can be carried out by the administrators and the political executive and the legislative.

The advantages and disadvantages of Bottom-Up-Model Approach is as follows:

The advantages of this type of approach are that the policies that are implemented are done so by making the people aware of the policy that is being implemented. Secondly, the approach promotes the efficient and effective use of resources. Thirdly, since the approach works from the grassroots level to the very top administrative levels, the morale of the policy implementors and the people is boosted to a huge extent. Fourthly, the approach promotes flexibility in the implementation process as the overall policy process is much more adaptable to the changes and circumstances that occur in the society and therefore, can come up with policies and strategies that are suited to the changing circumstances of the society. Fifthly, the approach provides for a stable ground for collaboration between different stakeholders in the policy implementation process. Sixthly, since the approach emphasises on collaboration between different stakeholders in the implementation process, this in turn leads to proper alignment of policies strategies and thus meet the overall expectations of the policy. Seventhly, the approach enables the growth and promotion of innovation amongst the policy implementors through the process of talking among peers and stakeholders, sharing of ideas between different levels of policy implementation process and thus executing the ideas. Instead of waiting for new ideas to flow from the top, in the Bottom-Up-Model Approach the stakeholders in the policy implementation process can come up with their own ideas which in turn will make the stakeholders being a part of the implementation process and thus improve the existing policies, services, procedures and products. Eighthly, there is a rise in trust between the top and the bottom level management and stakeholders which leads to more trust between various sections of the policy implementation process. Lastly, all the stakeholders in the policy implementation process are deemed important to the implementation process wherein the whole implementation process is not dependent upon any single person/ individual in relation to the policy implementation process.

The disadvantages of the Bottom-Up-Model Approach are that firstly, the approach is tedious in terms of taking decisions. The decision-making process in this approach is lengthier as more stakeholders are involved in the implementation process. Secondly, this kind of approach is always suitable as at many times policies need to be implemented in a particular time period and the Bottom-Up-Model Approach at times slows down the policy implementation. Thirdly, there is a lack of consistency as decisions are made at different levels of the policy implementation process. Due to the creation of decisions at different levels of the policy

implementation process, the overall policy implementation process runs the risk of operating without a clear stratagem.

Under this approach, it becomes possible for gaining multiple inputs from multiple sources but this in turn creates a system wherein the stakeholders in the policy implementation who do not check with each other and can in turn duplicate the existing tasks and duties and can also lead to objectives that are conflicting with each other and with the overall policy as well. Fourthly, due to the lack of experience, the stakeholders in the policy implementation can, at times, try various untested ideas which only hamper the policy implementation process. Lastly, with the increase of stakeholders there is a simultaneous rise of egos as well which only, in the long run, hamper the overall implementation process.

Conclusion

Policy implementation is an integral part of the overall policy process. The policy implementation process can be carried out by the use of Top-Down-Model Approach and the Bottom-Up-Model Approach which in turn have their own set of advantages and disadvantages. Many subject experts have stated that the best approach to implement policies in a seamless, efficient and effective manner is a mixture of both Top-Down-Model Approach and the Bottom-Up-Model Approach. This mixture enables the creation of an ecosystem wherein the objectives are stated in a clear and consistent manner that mentions how policy will bring forth change by using various structures that are legal in nature and thus by doing so enable the policy impact the people for whom the policy is being implemented. The mixture of both Top-Down-Model Approach and Bottom-Up-Model Approach enables skilled policy implementors to come together and implement the policy on the basis of objectives that are there within the policy itself. In short, the mixture of both the aforementioned approaches will lead to the creation of model/approach that is flexible in nature; and therefore, recognizes the complications that arise out of contradictions and incompleteness that are connected with various other approaches.

Check Your Progress

1. Name the two approaches applied to the process of policy implementation.
2. Who is the founder of the Bottom-Up-Model Approach?
3. Mention one advantage of using the Top-Down-Model Approach.

10.4 ANSWERS TO CHECK YOUR PROGRESS QUESTIONS

1. The two approaches applied to the process of policy implementation are the following:
 - (i) Bottom-Up-Model Approach
 - (ii) Top-Down-Model Approach

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2. Michael Lipsky is the founder of the Bottom-Up-Model Approach.
3. Under the Top-Down-Model Approach, pronouncements can be made and implemented in a fast manner as the very process of policy implementation is done and carried under a stipulated time period.

10.5 SUMMARY

- The most important part of the overall process associated with a policy is policy implementation itself. As per subject experts, most of the problems associated with the policy process arise during the policy implementation process.
- In order to implement a policy in a seamless manner, there is a continuous need for monitoring and assessment of the policy and the implementation process through the creation of a feedback mechanism and through the disposition of obtainable capital.
- It is necessary for the policy implementors to not to succumb to the pressure that is generated by the political circle.
- Before the 1970s, the implementation process was taken into consideration and the process of policy formulation was more important to the policy makers.
- The Top-Down-Model is a policy implementation process wherein the various decisions in relation to a policy are carried in accordance to a statute, order by the executive or in accordance to the decisions/orders taken by the judicial system.
- The Top-Down-Model Approach is based upon the following points: firstly, there is the presence of vibrant and dependable objectives that are created by those who are at the very top of the hierarchical set-up.
- Making the commercial, community and partisan areas for the policy implementation clear to the policy implementors and the people for whom the policy is going to be implemented.
- The Top-Down-Model Approach, according to many, is a policy implementation process that revolves around the concepts of struggle for power, vested interests and conflicts between two or many parties/individuals.
- The advantages of this type of approach are that firstly, the pronouncements can be made and implemented in a fast manner as the very process of policy implementation is done and carried under a stipulated time period.
- The Top-Down-Model Approach is unsuccessful as it does not promote effective and efficient implementation of the policy. Therefore, in order to successfully implement the policy, it becomes important to include conciliation

and compromise-building in the overall delivery mechanism of the policy. This can be carried out by the use of Bottom-Up-Model Approach.

- Under this method of policy implementation, the proponents and experts have stated that in order to implement the policy in an effective and efficient manner, it is necessary for the policy implementors to interact with those for whom a particular policy is being implemented.
- When it comes to using the Bottom-Top-Model Approach, it becomes important that the policy implementors formulate a strategy that is based on discussions with the target groups, individuals and institutions that deliver various services etc.
- Policy implementation is an integral part of the overall policy process. The policy implementation process can be carried out by the use of Top-Down-Model Approach and the Bottom-Up-Model Approach which in turn have their own set of advantages and disadvantages.

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10.6 KEY WORDS

- **Stakeholders:** These are people who have an interest in a company's or organization's affairs.
- **Ecosystem:** It is the complex of a community of organisms and its environment functioning as an ecological unit.
- **Infrastructure resources:** These are the set of fundamental facilities and systems that support the sustainable functionality of households and firms.

10.7 SELF ASSESSMENT QUESTIONS AND EXERCISES

Short-Answer Questions

1. Why is it necessary to implement the policy implementation process?
2. Briefly mention the essential points to be considered for efficient policy implementation.

Long-Answer Questions

1. Explain the various methodologies which assist in policy implementation in a seamless manner.
2. Discuss the advantages and disadvantages of the Top-Down-Model Approach.
3. Give reasons to suggest the successful adoption of the Bottom-Up-Model in the policy implementation process.

10.8 FURTHER READINGS

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UNIT 11 POLICY EVALUATION: CRITERIA FOR EVALUATION

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Structure

- 11.0 Introduction
- 11.1 Objectives
- 11.2 Policy Evaluation: Meaning
- 11.3 Importance of Policy Evaluation
 - 11.3.1 Criteria for Evaluation
- 11.4 Answers to Check Your Progress Questions
- 11.5 Summary
- 11.6 Key Words
- 11.7 Self Assessment Questions and Exercises
- 11.8 Further Readings

11.0 INTRODUCTION

The formulation and implementation of policy is an arduous task that the administrators have to carry out on a daily basis. The overall policy process is carried out in a series of steps wherein the very first step is the documentation of problems and issues for the formulation of the policies; coming up with various explanations and replacements; analysing, associating and choosing the best possible solutions; making these solutions a part of the policies; implementing these policies and finally looking into the outcomes and impacts of the policy via a feedback mechanism.

Like policy formulation and implementation, policy evaluation is also an important part of the policy process which in the recent years has been gaining a lot of attention. With the rise of better and advanced research and scientific methodologies, increasing use of approaches that are inter-disciplinary in nature and the merging of technology with the academia by the use of electronic and information technology in order to process data. Many subject experts have also felt that the time has come that the policies that have been implemented by the government need to be improved and that the inefficiencies in the system need to be removed by evaluating the policy in a scientific manner. However, it is to be noted here that at times policy evaluation cannot be carried out in the strictest manner as it can interfere with various aspects of the policy implementation process.

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11.1 OBJECTIVES

After going through this unit, you will be able to:

- Analyse the significance of policy evaluation in the policy implementation process
- Discuss the essential criteria to be adhered in the policy evaluation process

11.2 POLICY EVALUATION: MEANING

The word evaluation is an encompassing term and thereby includes a variety of happenings. The very process of evaluation takes place on a daily basis in every section of life and society in general. In modern democratic and contemporary nations, it is of paramount importance for the political and societal set-ups to have a vigorous, balanced, approachable and goal-oriented policy set-up process. The formulation of the policy is carried out by governmental bodies and institutions and NGOs. After the policy is formulated, it is then put through the implementation process wherein various institutions, agencies and channels are heavily invested in the achievement of the objectives and goals that have been stated within the policy that is to be implemented. As the policy is implemented, the society undergoes the impact caused by the policy and these impacts experienced by the people and the society can be termed as the output that is generated via the process of policy implementation. These generated outputs enable carrying out the process of policy evaluation.

The process of policy evaluation is an integral part of the policy process itself. The policy evaluation is a process wherein the policy makers are provided with appropriate statistics and data in relation to an issue pertaining to the policy itself; efficacy of past and existing strategies in relation to a particular policy problem and lastly the usefulness of definite policies. By initiating the process of policy evaluation, statistics and data are provided in an efficient manner which in turn reduces vagueness in the policy formulation process, increase organizational answerability in the policy process, and lastly, increases managerial control over the policy.

Policy evaluation plays an important role from the very start of the policy process wherein it plays an important role in the selection and identification of various issues and problems for the creation of the policy itself and thereby giving them the necessary importance by going through various alternatives that are as per the needs and demands of the time, society and the people. The main objective of the policy itself is to better the society and enable the people reach their personal goals and objectives. In the past few years, policy evaluation has gained a lot of

importance and has become very erudite. The process of policy evaluation has developed its own methodology that relies on the analysis of outcomes of the policies that were implemented earlier and thus provides a pathway for the implementation of future policies for similar issues and problems. This makes the very process of policy evaluation more hands-on by nature. This hands-on nature is further increased due to the use of various components from various other subjects such as political science, public administration, technology, statistics etc.

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11.3 IMPORTANCE OF POLICY EVALUATION

Policies are created by the government institutions to act as a beacon for guiding the people, society and nation on the basis of certain principles, rules and regulations. The policies are created to help the people, society and the nation build an ecosystem that enables in meeting with the goals and objectives of the policy itself. After the formulation and implementation of a policy, it becomes necessary for the process of policy evaluation to be carried out. By doing so, the policy administrators can tweak the policy at any time in order to fulfil the objectives of the policy. Because policies are created in order to assist the individual, society and the nation to accomplish specific goals and objectives, it becomes important to carry out the evaluation process in relation to policies that are implemented.

Policies are important as they guarantee the success of the objectives and goals that are to be achieved. In order to do so, policies need to be effective and at the same time be relevant to the time that is changing. Policies need to be changed in a continuous manner as the policy that was implemented a few years ago will not be relevant in today's time period. With the passage of time a policy might become obsolete, so it becomes important to carry out the evaluation process after the formulation and implementation process. If policy evaluation is not carried out then the individual, society and the nation will not know what needs to be changed.

The evaluation of the policy looks into as to why the policies were adopted or implemented in the first place and thereby, determines as to whether a policy will be a success or a failure. When the policy that has been implemented is a success, then the policy evaluation process is carried out in order to evaluate the policy as per the changing time period. If the policy fails to achieve the set number of goals and objectives, then policy evaluation is carried out to see that whether the policy that was formulated was created by irregular use of data/theory/circumstances or not.

Policy evaluation is important for the following reasons:

- Firstly, policy evaluation promotes effectiveness which aims to ensure that the policy has a positive impact.

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- Secondly, policy evaluation introduces efficiency that aims at the use of public resources, which are scarce in nature, to maximum utilization.
- Thirdly, policy evaluation enhances the speed of the implementation process as it ensures that policy is successfully implemented and thereby delivered in a successful manner.
- Fourthly, policy evaluation brings forth adaptation that enables the policy makers to adapt to the changing scenario and thus bring forth change in the policy when needed.
- Fifth, policy evaluation creates an ecosystem that enables the policy to meet the expectations and needs of the citizen.
- Sixth, policy evaluation brings forth accountability in the system that makes the system more transparent.
- Seventh, policy evaluation increases the democratic process.
- Lastly, policy evaluation increases public trust in government institutions and organizations and vice-versa.

Therefore, policy evaluation is a tool/process that is used to measure the earnestness, presentation and effectiveness of any policy and programme. It is an unavoidable part of the overall policy process. The process of policy starts with the setting up of an agenda that begins with the documentation of a problem/issue which then leads to the policy formulation, adoption, implementation, evaluation and lastly policy change/improvement. However, policy experts have stated time and again that the process of policy evaluation is not only related to the end of the policy process but it can be adopted during the initial stages of the policy process. The very process of policy evaluation can take place before policy formulation, during policy formulation and implementation and after the policy implementation as well. Thus, the process of policy evaluation is the assessment of the effectiveness of a policy in relation to its objectives and results.

11.3.1 Criteria for Evaluation

In order to carry out the process of policy evaluation, it becomes necessary to implement various criteria that enable the process of policy evaluation. When in search of criteria for the policy evaluation process, some criteria that can be used from a simplistic perspective as to whether the objectives and goals of a policy were effective or not and to what extent and level. However, the process of policy evaluation is a complex process in itself; and therefore; it becomes important to include various other criteria in the overall policy evaluation process. These criteria focus upon the formulation and implementation of objectives and goals and at the same time look into the associations between the objectives/goals and the

methodologies to obtain them. According to various subject experts, certain criteria are important; and therefore, need to be included in the policy evaluation process. These criteria include effectiveness, capability, suitability, efficiency etc., whose discussion is carried as follows:

The first and foremost criteria for the carrying out the process of policy evaluation is the applicability of fairness and equality. By doing so an ecosystem is created wherein the individual is provided remedy in relation to their problem or issue. From a policy evaluation perspective, this criterion focuses on whether the benefits of a particular policy have been equally distributed among the masses or that the income is redistributed properly among the people via the creation and implementation of various policies. In nations, that are democratic in nature and follow the rule of law via the constitution, equality to every individual irrespective of their social and cultural indicators is to be ensured by law. Therefore, when it comes to policy evaluators to evaluate a policy, they have to do so from the point of view of equality wherein they gauge as to how far the policies have reached the general public especially those who are disadvantaged and as to how much the people have benefitted from the various policies and have risen above their disadvantaged conditions. However, many subject experts have stated that the concept of equality and its meaning differs from individual to individual, from institution to institution and from government to government. From a political angle, the very concept of equality is used for the amassment of political power and rule. People in the society are different from each other in terms of their values, objectives, perceptions, goals etc., to name a few and therefore, policies that aim at the redistribution of power might help a particular section and at the same time might not benefit another section of the society. Therefore, from a conceptual perspective, equality is ideal in nature but when it comes to ground realities, it becomes clear that equality is suitable for grabbing political power and thereby increasing one's political mileage.

The second most important criterion for the policy evaluation process is the achieving of benefits on one hand and bringing down the costs of achieving these benefits on the other hand. This can only be done in an efficient manner by looking into as to how the limited number of resources was used to achieve the set objectives of a policy. From a policy perspective, it becomes important to evaluate a policy in an efficient manner on the basis of the resources that were used by the policy formulators and implementors to achieve the objectives of a policy. However, in reality, at times it becomes difficult to break down the inner workings of a government institution and their policies from an analytical perspective as there are problems of partisanship, quantification, etc.

The third criterion for the policy evaluation process is looking into the benefits that have been achieved by the formulation and implementation of various policies

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in a smart and effective manner. To say that a particular policy has been formulated and implemented it becomes necessary to see as to whether the objectives of a policy have been fulfilled or not. However, it is difficult to carry out the criterion to whether a particular policy is operative or not as it is, again, difficult to measure the impact of a certain policy in a quantitative or qualitative manner.

The fourth criterion applied to the policy evaluation process is whether or not a policy is helping a certain section of the society at the expense of other sections of the society. Ideally, when a policy is formulated and implemented it is done in such a manner wherein all sections are benefitted from the policy. And, still in the real world, it becomes impossible to do so as policies are formulated and implemented at the expense of one section of the society to benefit the other sections of the society. This may seem crude but it is one of the ways in which the society undergoes transformation and upliftment wherein those capable of sacrificing for the betterment of others do so for the overall transformation of the society.

The fifth criterion in the policy evaluation process is the relationship that exists between the policy and the issue at hand for which the policy was initially formulated and then later on implemented. Competence is seen in relation to a policy a being able to have an impact on the issue or problem at hand for which the policy was formulated and implemented. A competent policy is different from an effective policy even-though the meaning might mean the same. An effective policy looks into the ability to achieve the policy objectives and goals while a competent policy, inherently, looks into the impact of a policy over the problem for which it was formulated in the first place. In an ideal world, the process of policy evaluation can be carried out without any hitch and the effectiveness and competency of a policy can be measured in a qualitative and quantitative manner. But in reality, it is difficult to measure the effectiveness and competency of a policy. Especially when, it comes to competency of a policy, it is more subjective by nature and is, therefore, in the need of having more quantitative methodologies in order to understand the competencies of a policy.

The sixth criterion that is integral to the overall process of policy evaluation is getting the feedback from the general public in relation to the impact of a policy. This is important as in the first place, it is for the general public that the policies are formulated. Therefore, it becomes important to gather the necessary feedback from the general public as to whether a policy has been impactful or not. In the past few decades, it has been seen that the general public has been actively involved in the formulation and implementation of specific policies that are aimed at their upliftment. Politics is carried out due to the prevalent interests of the general public. The public interest varies from time to time and from government to government;

and therefore, it becomes important to understand the nature of public interest. Public interests arise due to the various negotiating efforts that take place between different groups. Based on these efforts of coordination and negotiation, certain interests are put forth as per the interests of the general public and thus, based upon these interests' policies are created that aim at the fulfilment of these interests.

The seventh criterion is very similar to the interests of the general public. This criterion is people's involvement and receptiveness to a particular policy at hand. In the policy evaluation process, people's involvement and receptiveness to a particular policy at hand plays an integral role in the evaluation process. The involvement of the public and their receptiveness implies that the overall policy process is carried out in a democratic manner. An increase in the participative nature of the general public means that a particular policy is more acceptable to the general public; and therefore, will undergo a smooth implementation process. At the same time, when the public shows that it is receptive towards a particular policy then that means that all sections of the society accept the policy with any issue or problem. However, it is to be noted here that acceptance and receptiveness differs from time to time and from government to government.

The eight criterion in the process of policy evaluation is the carrying out of various practices that increase and promote sustainable development. Policies are created in the first place to promote development throughout various sections and levels of the society. In recent times, the concept of sustainable development has been gaining attention throughout various international and national communities. From the point of view of policy evaluation, it is necessary to see that the process of policy evaluation is of a sustainable nature or not. This means that the policy initially should promote sustainable development and later on after the expiration of a particular policy, it becomes important to see that the positive points of a policy are being implemented and promoted by various other policies or follow up policies. By doing so, sustainable development is promoted throughout the society and the nations as well; and simultaneously, enables in the creation of a policy ecosystem that is based upon continuousness, productivity and usefulness.

The ninth criterion in the policy evaluation process is as to find whether a policy is applicable or not. It is important for a policy to be applicable to all. As applicability refers to the extent to which a policy addresses the problems and issues that are faced by the people for whom in the first place the policy is being formulated and implemented. Applicability basically focusses on as to whether the target audience has received the maximum benefits of a particular policy that was formulated and implemented for them.

The last criterion in the policy evaluation process is related to appositeness. This criterion basically talks about whether a particular policy has been formulated

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and implemented on the basis of a particular value-based system or not and that does the policy function within the acknowledged levels.

It is to be noted here that the above-mentioned criteria are not the only criteria within the policy evaluation process. There are many more criteria that exist under the policy evaluation process but the aforementioned criteria are the one's that have been used more commonly. The criteria used for the policy evaluation process differ from institution to institution and from government to government.

The various criteria that have mentioned in relation to the policy evaluation process enable in the smooth transition of the overall evaluation process. These criteria, firstly, evaluate the policy process. They enable the evaluators to see as to whether a particular policy is being formulated and implemented as per the guidelines that were issued when initially the policy was being formulated in relation to a particular problem or issue.

Secondly, these criteria enable the various institutions and the governments to see that the policy that is being formulated and implemented is done so in such a manner that the policy works in providing various benefits to a particular section of the society for whom the policy was created in the first place.

Thirdly, these criteria help the various institutions involved in the policy formulation and implementation process to come up with various strategies that improve the implementation process and at the same time help in evaluating the various impacts of the policy itself.

Lastly, the use of various criteria in the policy evaluation process makes it possible to understand the process of formulating and implementing a policy and at the same time understanding the impact of the policy as well. Both are important for the policy process and can be understood in depth and precisely through the use of the aforementioned criteria in the policy evaluation process.

Conclusion

The process of policy evaluation, in the recent decades, has emerged as an integral part of the overall policy process. The process of policy evaluation is necessary for providing information and knowledge in relation to a particular policy to the general public and at the same time to the policy formulators and implementors. Policy evaluation is carried out to make an unbiased assessment of a policy by providing the necessary information. This information can be used during the process of policy formulation and implementation and afterwards also. During the process of policy formulation and implementation, the process of evaluation is carried out by providing information and data pertaining to a particular issue which is then addressed by a particular policy by mentioning the challenges and technicalities

that are out there in relation to the policy. Also, worth mentioning here is that information is also provided in relation to various other policies that have sought to address the same issue or problem earlier.

Policies that are created by the government for the people. To the total policy process, policy evaluation is of great importance. The overall process of policy evaluation is not different from policy formulation and implementation and in fact very related to the process of policy formulation and implementation. The process of policy evaluation enables an unbiased performance assessment of a policy and comes up with additional information in relation to the formulation and implementation of an updated form of policy that suits the interests of the general public.

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Check Your Progress

1. State any one important reason for doing policy evaluation.
2. How is a competent policy different from an effective policy?

11.4 ANSWERS TO CHECK YOUR PROGRESS QUESTIONS

1. Policy evaluation indeed plays a vital role in the policy implementation process. Policy evaluation promotes effectiveness which aims to ensure that the policy has a positive impact.
2. A competent policy is different from an effective policy even-though the meaning might mean the same. An effective policy looks into the ability to achieve the policy objectives and goals while a competent policy, inherently, looks into the impact of a policy over the problem for which it was formulated in the first place.

11.5 SUMMARY

- The word evaluation is an encompassing term and thereby includes a variety of happenings. The very process of evaluation takes place on a daily basis in every section of life and society in general. In modern democratic and contemporary nations, it is of paramount importance for the political and societal set-ups to have a vigorous, balanced, approachable and goal-oriented policy set-up process.
- The process of policy evaluation is an integral part of the policy process itself. The policy evaluation is a process wherein the policy makers are provided with appropriate statistics and data in relation to an issue pertaining

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- to the policy itself; efficacy of past and existing strategies in relation to a particular policy problem and lastly the usefulness of definite policies.
- Policy evaluation plays an important role from the very start of the policy process wherein it plays an important role in the selection and identification of various issues and problems for the creation of the policy itself and thereby giving them the necessary importance by going through various alternatives that are as per the needs and demands of the time, society and the people.
 - The process of policy evaluation has developed its own methodology that relies on the analysis of outcomes of the policies that were implemented earlier and thus provides a pathway for the implementation of future policies for similar issues and problems.
 - Policies are created by the government institutions to act as a beacon for guiding the people, society and nation on the basis of certain principles, rules and regulations. The policies are created to help the people, society and the nation build an ecosystem that enables in meeting with the goals and objectives of the policy itself.
 - Policies are important as they guarantee the success of the objectives and goals that are to be achieved. In order to do so, policies need to be effective and at the same time be relevant to the time that is changing.
 - The evaluation of the policy looks into as to why the policies were adopted or implemented in the first place and thereby, determines as to whether a policy will be a success or a failure. When the policy that has been implemented is a success, then the policy evaluation process is carried out in order to evaluate the policy as per the changing time period.
 - In order to carry out the process of policy evaluation, it becomes necessary to implement various criteria that enable the process of policy evaluation. When in search of criteria for the policy evaluation process, some criteria that can be used from a simplistic perspective as to whether the objectives and goals of a policy were effective or not and to what extent and level.
 - Ideally, when a policy is formulated and implemented it is done in such a manner wherein all sections are benefitted from the policy.
 - The involvement of the public and their receptiveness implies that the overall policy process is carried out in a democratic manner. An increase in the participative nature of the general public means that a particular policy is more acceptable to the general public; and therefore, will undergo a smooth implementation process.
 - From the point of view of policy evaluation, it is necessary to see that the process of policy evaluation is of a sustainable nature or not. This means that the policy initially should promote sustainable development and later

on after the expiration of a particular policy, it becomes important to see that the positive points of a policy are being implemented and promoted by various other policies or follow up policies.

- The last criterion in the policy evaluation process is related to appositeness. This criterion basically talks about whether a particular policy has been formulated and implemented on the basis of a particular value-based system or not and that does the policy function within the acknowledged levels.
- The process of policy evaluation, in the recent decades, has emerged as an integral part of the overall policy process. The process of policy evaluation is necessary for providing information and knowledge in relation to a particular policy to the general public and at the same time to the policy formulators and implementors.
- Policies that are created by the government for the people. To the total policy process, policy evaluation is of great importance. The overall process of policy evaluation is not different from policy formulation and implementation and in fact very related to the process of policy formulation and implementation.

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11.6 KEY WORDS

- **Statistics:** It a branch of mathematics dealing with the collection, analysis, interpretation, and presentation of masses of numerical data.
- **Erudite:** This term refers to a person who possesses immense knowledge or is a scholarly person.

11.7 SELF ASSESSMENT QUESTIONS AND EXERCISES

Short-Answer Questions

1. Why do you think that policy evaluation is significant in the policy implementation process?
2. Write a short note on the process of policy evaluation.

Long-Answer Questions

1. 'Policy evaluation is a tool/process that is used to measure the earnestness, presentation and effectiveness of any policy and programme.' Elucidate the statement.
2. Discuss the various criteria which need to be included in the policy evaluation process.

11.8 FURTHER READINGS

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BLOCK V
PUBLIC POLICY OF INDIA: AN ANALYSIS

*Healthcare Policy of
India: Evaluation And
Analysis*

**UNIT 12 HEALTHCARE POLICY OF
INDIA: EVALUATION AND
ANALYSIS**

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Structure

- 12.0 Introduction
- 12.1 Objectives
- 12.2 Meaning and Scope of Healthcare Policy
- 12.3 The National Health Policy, 1983
- 12.4 The National Health Policy, 2002
- 12.5 National Health Policy, 2017
- 12.6 Answers to Check Your Progress Questions
- 12.7 Summary
- 12.8 Key Words
- 12.9 Self Assessment Questions and Exercises
- 12.10 Further Readings

12.0 INTRODUCTION

In India, there exists a system of universal healthcare model that is provided by the state government. This provision of healthcare to all the Indian residents by the state governments is enshrined in the Constitution of India. The Indian Constitution has stated that all the state governments in India are responsible for the provision of proper nutrition, improve the existing standards of living and improve the overall system of public healthcare in their respective states.

In India, the central government formulated The National Health Policy in 1983. This health policy was updated in the year 2002 and later on again in the year 2017. The National Health Policy has served as a beacon for the overall development and sustainable growth of the Indian health sector. The health policy is comprehensive in nature as it wants to increase health coverage for the Indian citizens by providing very basic healthcare facilities at a reasonable price.

12.1 OBJECTIVES

After going through this unit, you will be able to:

- Examine the meaning and scope of a healthcare policy
- List the objectives/goals of the National Health Policy, 1983

- Identify the major areas of concern of the National Health Policy 2002
- State the main objective of the National Health Policy, 2017

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12.2 MEANING AND SCOPE OF HEALTHCARE POLICY

A healthcare policy can be defined as a policy that is made up of various pronouncements, campaigns and arrangements that are carried forth in order to achieve various goals pertaining to healthcare in a society. A healthcare policy is formulated in the first place to achieve the following objectives and goals:

Firstly, the government formulates a healthcare policy to increase the level of awareness among the general public and thereby solves the problems and issues that are prevalent in the society.

Secondly, a healthcare policy aims to establish infrastructure that provides the general public with proper health and sanitation related facilities.

Thirdly, a healthcare policy aims to bring forth a balance between rural and urban areas by providing each of them with a proper health related infrastructure that is dependable and sustainable.

Fourthly, a healthcare policy is formulated to bring forth an information system that helps in the planning and implementation of various health related policies and programmes.

Fifthly, a healthcare policy also paves the way for the government to bring forth various legislative provisions, rules and regulations that help in the protection of the existing health related services and at the same promote new and upcoming health related services for the overall benefit of the general public.

Sixth, healthcare policy is also formulated to combat various diseases that are prevalent among the various sections of the society.

Seventh, a healthcare policy also serves as a platform for the development of new health related technologies and services that can be provided to the general public in a low-cost manner.

Lastly, the presence of a healthcare policy also serves as a common platform for different and upcoming systems of medicines and health management.

To conclude, health is the achievement of a state wherein the individual recovers from diseases on one hand and on the other, the individual is well off from a physical, social and mental perspective. Similarly, a policy is the creation of a legal framework that promotes the use of logic and rationality in order to achieve various goals and objectives. Therefore, a health policy is the formulation of a policy by the government of a particular nation that aims to disseminate proper knowledge in relation to various aspects of health itself and thereby achieve the said objectives in the policy.

12.3 THE NATIONAL HEALTH POLICY, 1983

In India, in the year 1983 the central government formulated the National Health Policy as per the directives of the Indian Constitution. The policy was formulated by The Ministry of Health and Family Welfare, Govt. of India. The policy laid emphasis on improving the various aspects of the healthcare system. The policy also stated that it was very much the need of the hour to come up with the creation of a comprehensive healthcare system that can be easily accessed by each and every individual residing within the nation.

The National Health Policy, 1983 had the following set of objectives/goals that it wanted to fulfil:

Firstly, the policy aimed at the creation of a programme that aimed at setting up of a system that was made up of various healthcare services as well as the promotion of education and knowledge pertaining to health itself.

Secondly, the policy enabled the creation of volunteers whose main job would be to provide health related services through the use of proper knowledge, skills and technology.

Thirdly, the creation of a healthcare system wherein patients are referred to a healthcare official so that the existing system is not burdened by the number of patients.

Lastly, the creation of services that fall under the category of speciality and super-speciality services that are spread throughout the nation via many private as well as public institutions. The use of private institutions to cater to the development and use of speciality and super speciality services which leads to less burden on the already burdened public health institutions.

The 1983 health policy also had the following features to it:

Firstly, the policy was very much different from the global model of healthcare practised amongst various nations.

Secondly, the policy aimed to create a healthcare system that prevented the rise of new as well as existing diseases; promote new health related techniques and services; and lastly; be reconstructive in nature.

Thirdly, the policy wanted to create a healthcare system that was decentralized in nature and that this decentralized system of healthcare would be available to everyone in a price bracket that was very low and affordable and that the healthcare system would consist of volunteers and members from the various communities themselves.

Lastly, the policy aimed to enable the private sector to come up with new health related services and technologies that would boost the health sector and at the same time decrease pressure on public institutions.

However, in the year 2002, it was seen that the National Health Policy of 1983 was unable to achieve its set targets and objectives. This was because the

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nation was undergoing socio-economic development in a slow manner and also due to the presence of various policies that were more inequitable in nature. Other factors that hampered the growth and spread of the health policy of 1983 are as follows:

Firstly, the policy was unable to be implemented throughout India due to the lack of political will and commitment towards the betterment of the general public.

Secondly, there was failure to achieve impartiality in order to access all healthcare systems.

Thirdly, there was a presence of a non-changing socio-economic and socio-political fabric that prevented the implementation and use of new knowledge-based health services.

Fourthly, there was lack of action from all sections and sectors of the society.

Fifthly, there existed improper distribution of human resources and the presence of a weak support system.

Sixthly, there was inability to promote all health-related activities and services.

Seventhly, there existed presence of a weak information system.

Eighthly, there was lack of proper sanitation services and inability to access clean drinking water as well.

Ninthly, there was large scale changes that occurred in the society and the natural environment simultaneously.

Lastly, there was the rising cost of technology and improper allocation of existing resources that were already scarce in nature.

Therefore, in order to overcome the difficulties and shortcomings of the National Health Policy of 1983, in the year 2002, the policy was amended to include various changes that would enable the creation of a robust healthcare system in the country.

12.4 THE NATIONAL HEALTH POLICY, 2002

In 2002, the Government of India revised its existing National Health Policy which was aimed towards the creation of a better and advanced healthcare system, and at the same time, fulfil the goals and objectives of the 1983 policy as well. This revised health policy was known as The National Health Policy 2002. As per the newly revised policy, it is the duty of the government as well the professionals working in the healthcare sector to provide good healthcare to the society.

The revised healthcare policy had the following objectives to it:

Firstly, the revised policy wanted to achieve a standard of good health for the Indian population that was also accountable in nature.

Secondly, the policy aimed at the decentralization of the healthcare system by upgrading the existing institutions and infrastructure.

Thirdly, the policy wanted every individual across the nation to have the ability to access various health services. This was not possible under the 1983 policy due to geographical and social constraints.

Fourthly, there was push for increasing private healthcare facilities and services for those who have the ability to pay for these services and facilities; and thus, creating a system of balance between the private and the public healthcare sector.

Fifth, the policy gave importance to the prevention of diseases and restorative initiatives at primary healthcare levels.

Sixth, the policy envisaged the promotion of use of various medicines from a logical and rational perspective.

Seventh, the policy aimed at focussing primarily on those diseases that increased burden on the healthcare system.

Lastly, the promotion of use of traditional medicine system that have been proved from a logical and scientific viewpoint.

The revised National Health Policy of 2002 consisted of the following components:

Firstly, the policy aimed to increase expenditure in the health sector infrastructure to 6 per cent of the GDP.

Secondly, the 2002 revised policy aimed to increase the maximum allocation of resources in the primary health sector and secondary health sector to the minimum in the tertiary health sector.

Thirdly, the policy also provided the framework for the creation of various national public health programmes. As per the revised 2002 policy, all health programmes would come under a single administrative infrastructure. Projects aimed at the overall development would be established using scientific methodologies.

Fourthly, the policy wanted to strengthen the existing primary healthcare services by decentralizing the existing healthcare system. A decentralized healthcare system will create an ecosystem wherein the various personnel involved in the public healthcare system will be monitored by their respective community members.

Fifthly, the policy aimed to extend existing public health services by including a new cadre of medical practices alongside the existing medical practices which includes the use and promotion of traditional knowledge-based medicinal activities.

Sixthly, the policy included local self-governing units as a part of the overall healthcare system. By including various local self-governing units in the overall

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healthcare system, it becomes simpler to formulate and implement policies at the grassroots levels.

Seventhly, the policy aimed at bringing forth some statutory norms which it comes to the disposition of medical professionals in various medical institutions under the provision of various medical acts like the Indian Medical Council Act, Indian Nursing Council Act, etc.

Eighthly, the policy included medical research of the contemporary times by creating a syllabus that is more skill oriented and emphasis on practical training.

Ninthly, the policy wanted to bring in specialists in the public health and family medicine sector in the Indian health sector.

Tenthly, the policy recognized that the health sector in India was lacking personnel who were well versed in special and super-speciality services. The policy has stated exclusively that the health sector lacked nursing personnel who could aid the doctor and other medical personnel and therefore, made it possible to increase nursing personnel in the health sector.

Eleventhly, the policy also emphasized on the use of generic medicines, drugs and vaccines in both public and private medical institutions.

Lastly, the policy emphasised on the creation of urban community health centres; coming up with various mental health institutions; create pathways and infrastructure related to the dissemination of education related to the medical profession and also using proper communication methodologies to disseminate information related to various medical services; promotion of research in the health sector; increasing the role of public sector in the health sector; enabling the civil society to function in the growth and development of the health sector in a sustainable manner; creation of a National Disease Surveillance Network; creating proper statistics in relation to the health sector; enabling the growth and development of existing sectors within the overall health sector; promotion of ethics in the medical sector; enforcement of various quality based standards in relation to the production of various medicines, drugs and vaccines; promotion of health tourism, etc.

To conclude, the revised National Health Policy 2000 brought forth new level of changes in the existing national health policy. The revised policy has achieved a lot as in 2003 the policy enabled the implementation of legislations pertaining to the regulation of standards for the establishment of clinical and medical institutions and establishments. In 2005, the policy helped in the eradication of various diseases, helped in the establishment of the Integrated Disease Surveillance Project, implementation of decentralized public health programmes; in 2007 the policy helped achieve zero growth levels of diseases such as HIV and AIDS. Another reason as to why the revised policy of 2002 succeeded was due to the availability of medical and health related resources that were produced by various medical institutions and establishment on a global scale. By going through these international

and national documents, the policy fared much better in comparison to the 1983 policy. However, the revised policy of 2002 failed to eradicate several diseases from India; failed to establish a National Health Accounts and Health Statistics; failed to increase the spending for the state health sector from 5.5 per cent to 7 per cent of the budget; failed to implement various public health programmes properly; the policy failed to work for the improvement of the health of Indian women in comparison to the health of the Indian children; the policy did not provide proper attention to the old age people; failed to integrate various programmes and activities with the overall health service sector and thereby ensure sustainability throughout the overall health sector; the policy failed to formulate and implement various health programmes at school levels throughout the nation and thereby the desired results could not be achieved in the majority of the Indian states; the policy failed to carry out proper analysis of the situation prevalent in the Indian states in relation to the health; the policy failed to properly define the role of local self-governing units in the upliftment of health in their respective areas; the policy had stated it wanted to strengthen primary health sector in India but failed to do so as it did not provide the proper guidelines for doing so; the policy failed to provide an extensive layout wherein it could further strengthen the improvement of the Indian health sector by the use of various health workers at the village levels; the policy could create a common platform wherein various workers of the Anganwadi system and various other local institutions could come together and work in the removal of various diseases and deficiencies from the villages themselves.

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12.5 NATIONAL HEALTH POLICY, 2017

As mentioned before, the National Health Policies of 1983 and the revised policy of 2002 paved way for the development and improvement of the Indian health sector in a sustainable manner. But in spite of bringing many changes to the Indian health sector, the 1983 policy and its 2002 revised version failed to bring forth much needed changes in the health sector. After 2002, the world and especially India have had experienced many changes pertaining to the health sector. For instance, globally speaking the morality rate of female and child was rapidly declining, but at the same time, there was rise in the spread of various infectious diseases as well. Secondly, the global health industry was expanding at a rapid scale. Thirdly, as the health sector was expanding so was the cost of healthcare. This rise in cost only further increased the gap between the rich and the poor in relation to their access to proper healthcare systems. Lastly, the world was in the midst of a rising economic growth which was in turn shaping the nature of the socio-cultural and socio-political fabric everywhere. Due to these global changes, it became necessary for India to come forward and forge a new health policy that was up to date with the global changes emerging in the world.

The main objective of the National Health Policy, 2017, is to increase the role of the government in the overall management and shaping up of all health systems in

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relation to all their aspects. The 2017 revised health policy is based upon the progress that was gained during the implementation of the revised 2002 policy.

The 2017 revised policy aimed to provide the highest level of health-related services for all ages, irrespective of their socio-cultural markers, via increasing access to various healthcare services, improving the quality of existing healthcare services and systems and lastly lowering down the cost of various health related services, medicines, drugs and vaccines. The 2017 policy also worked in tandem with the Sustainable Development Goals (SDGs) wherein the policy has provided a proper layout as to how it will develop the nation's health sector in relation to the directions provided by the global community.

The 2017 policy has a set of principles associated to it. These principles are as follows:

Firstly, the policy aims to promote the highest standards of competence, morals and truthfulness throughout the Indian health and medical sector and thus making the existing system more transparent.

Secondly, the policy works on ways to reduce the levels of inequity in the health sector as to enable every person right down to the grassroots to avail the available medical services prevalent in the nation.

Thirdly, apart from the removal of inequality in the system the policy also aims to bring down the cost of healthcare services. The policy aims to bring down the expenditure level of the health services available in the nation.

Fourthly, the promotion of a universal healthcare system is one of the core principles of the policy itself.

Fifthly, the policy promotes an increase in the quality of the care giving system prevalent throughout the Indian health sector. This increase in quality of care giving system is to be centred around the needs of the patient and by doing so the overall quality of the healthcare system is not compromised.

Sixthly, the policy aims to bring forth financial accountability into the healthcare system and simultaneously increase the level of performance prevalent in the system.

Seventh, the policy works on the creation of an ecosystem that has multiple stakeholders. This in turn makes the ecosystem more participatory in nature and at the same time promotes diversity in the health sector. A diverse healthcare system gives the patients the freedom to choose the health service of their choice which only leads to the achievement of various goals and objectives through various diverse practices in the healthcare system.

Lastly, the policy wants to increase the scope of decentralization in the healthcare system and make the overall healthcare system more energetic and at the same time adaptive to deal with the diseases of the future.

The Nation Health Policy, 2017, further aims to fulfil the following objectives:

First and foremost objective that the 2017 policy aims to achieve is to increase Universal Health Coverage throughout India. In order to do so, the aims state that the allocation of resources in relation to the Indian health sector needs to take place in an optimal manner.

The second objective of the policy is to make the public trust in the existing healthcare system which the government aims to improve in the long run. An increase in public trust will make the healthcare system more efficient, effective, affordable, transparent etc., and by doing so the needs of the patient will be met in a much faster manner.

The third objective is enabling the private sector in the Indian health sector to grow in such a manner wherein its goals and objectives are similar to the objectives and goals of the government itself.

The last objective is coming up with goals and objectives that are quantifiable in nature and that can be measured in terms of impact, performance and strength in relation to a health programme or to the overall health system.

Apart from the various goals, principles and objectives, the 2017 policy also works on the following key areas in order make the healthcare system function and develop in a manner beneficial to the general public:

The first area is working in tandem with the Swachh Bharat Abhiyan. A clean environment brings down the rate of infection among the general public and at the same time increase the life expectancy of the people as well. The Swachh Bharat Abhiyan aims to create a clean environment for the people of India and at the same The National Health Policy, 2017, wants a clean environment that prevents the rise of diseases and the deaths of the people. Therefore, it is common that the two of them will together work towards the achievement of the goals which are similar in nature.

The second area is the promotion of a culture that makes the general public exercise and follow a better and more nutritious diet that only will prolong their life and at the same make others follow suit. By doing so, the general public will not fall sick as they used to do and therefore, allocation of resources can take place in a more systematic manner.

The third area is making the people aware about the problem of substance abuse and ways to overcome it. It becomes important for the policy to make the people aware of the dangers of substance abuse and how to come out of this vicious cycle of abuse.

The fourth area is the prevention of deaths of individuals in rail and road traffic accidents and incidents. This area is also known as *Yarti Suraksha*.

The fifth area is preventing violence against the opposite gender. This area is also known as *Nirbhaya Nari*.

The sixth area of the policy is reducing the stress that prevails in the workplace and come up with various measures to improve safety as well.

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Lastly, the policy aims at bringing down the level of pollution both within the home of the individual and in the outside environment as well.

All the aforementioned areas come together and form an integral part of the Swasth Nagrik Abhiyan which in itself is a social movement that aims bringing health related services to the general public.

Conclusion

The presence of a comprehensive healthcare policy is an important part of the modern-day healthcare system and enables in the effective and efficient management of resources throughout the system. The healthcare policy in India aims to achieve an acceptable standard of health among the general Indian public. The policy was implemented in 1983 and then revised in 2002 and 2017 respectively. The initial policy and its revisions aim to create a decentralized system by coming up with new infrastructures in the areas that need the most and improving the existing infrastructure as well. The policy aims to provide access to various healthcare services in an affordable manner throughout the nation. The initial policy of 1983 had some shortcomings which the policy implementors overcame in 2002 and the same was done when the policy got revised in 2017.

Check Your Progress

1. What is a healthcare policy?
2. When was the National Health Policy formulated for the first time in Independent India?
3. Mention any two major objectives of the revised National Health Policy of 2002.

12.6 ANSWERS TO CHECK YOUR PROGRESS QUESTIONS

1. A healthcare policy can be defined as a policy that is made up of various pronouncements, campaigns and arrangements that are carried forth in order to achieve various goals pertaining to healthcare in a society.
2. In India, in 1983 the central government formulated the National Health Policy as per the directives of the Indian Constitution in Independent India.
3. Two major objectives of the revised National Health Policy of 2002 are the following:
 - (i) The policy aimed to increase expenditure in the health sector infrastructure to 6 per cent of the GDP.
 - (i) The 2002 revised policy aimed to increase the maximum allocation of resources in the primary health sector and secondary health sector to the minimum in the tertiary health sector.

12.7 SUMMARY

- A healthcare policy can be defined as a policy that is made up of various pronouncements, campaigns and arrangements that are carried forth in order to achieve various goals pertaining to healthcare in a society.
- In India, in the year 1983 the central government formulated The National Health Policy as per the directives of the Indian Constitution. The policy was formulated by The Ministry of Health and Family Welfare, Govt. of India.
- In order to overcome the difficulties and shortcomings of the National Health Policy of 1983, in the year 2002, the policy was amended to include various changes that would enable the creation of a robust healthcare system in the country.
- In 2002, the Government of India revised its existing National Health Policy which was aimed towards the creation of a better and advanced healthcare system, and at the same time, fulfil the goals and objectives of the 1983 policy as well.
- Lastly, the policy emphasised on the creation of urban community health centres; coming up with various mental health institutions; create pathways and infrastructure related to the dissemination of education related to the medical profession and also using proper communication methodologies to disseminate information related to various medical services.
- The main objective of the National Health Policy, 2017, is to increase the role of the government in the overall management and shaping up of all health systems in relation to all their aspects. The 2017 revise health policy is based upon the progress that was gained during the implementation of the revised 2002 policy.
- The 2017 policy also worked in tandem with the Sustainable Development Goals (SDGs) wherein the policy has provided a proper layout as to how it will develop the nation's health sector in relation to the directions provided by the global community.
- The presence of a comprehensive healthcare policy is an important part of the modern-day healthcare system and enables in the effective and efficient management of resources throughout the system.

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12.8 KEY WORDS

- **Sanitation:** It refers to public health conditions related to clean drinking water and adequate treatment and disposal of human excreta and sewage.

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- **Indian Medical Council Act, 1956:** This Act provides for the reconstitution of the Medical Council of India, and the maintenance of a Medical register for India and for matters connected therewith.
- **Swachh Bharat Abhiyan:** It was launched by Prime Minister, Narendra Modi on 2 October 2014. The mission aims to achieve universal sanitation coverage and to encourage hygienic sanitation practice. The scheme is also known as the ‘Clean India Mission’.

12.9 SELF ASSESSMENT QUESTIONS AND EXERCISES

Short-Answer Questions

1. Write a brief note on the objectives or goals of a healthcare policy.
2. Mention the major objectives/goals of the National Health Policy, 1983.
3. Why was the National Health Policy revised in 2017?

Long-Answer Questions

1. Discuss the objectives/goals of the National Health Policy 2002.
2. Explain the major principles of the National Health Policy, 2017.

12.10 FURTHER READINGS

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UNIT 13 NEW EDUCATION POLICY OF INDIA-EVALUATION AND ANALYSIS

*New Education Policy of
India-Evaluation and
Analysis*

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Structure

- 13.0 Introduction
- 13.1 Objectives
- 13.2 Rationale of Education Policies
 - 13.2.1 History of Educational Policies in India
- 13.3 The National Education Policy, 2020
- 13.4 Answers to Check Your Progress Questions
- 13.5 Summary
- 13.6 Key Words
- 13.7 Self Assessment Questions and Exercises
- 13.8 Further Readings

13.0 INTRODUCTION

Education is important in order to create a society that encourages the individual to reach their maximum potential and in turn create an ecosystem that enables the development of the individual, society and the nation in a sustainable manner. It is important for everyone to be able to access quality education. In the case of a democratic nation like India it can be seen that the fact that individual is given access to education has resulted in a slow and steady growth of the Indian society and economy on one hand and on the other hand education has further strengthened the process of integrating the newly formed nation post 1947. Education has been a driving force in preserving the rich ethos and culture of the Indian society, enabled the common public to create a fair and just society and lastly has made India develop its own indigenous branch of science and technology. In this unit, you will learn about the New Education Policy of India.

13.1 OBJECTIVES

After going through this unit, you will be able to:

- Discuss the rationale of education policies
- Give an overview of educational policies in India
- Explain the principles on which the National Education Policy 2020 is based
- Examine the main points covered by the National Education Policy

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13.2 RATIONALE OF EDUCATION POLICIES

Providing access to quality education is the sure shot way of developing the individual, society and the nation in an all-round manner. With the Indian populace rising it becomes very important for the government to provide various opportunities in relation to the education sector that will determine the future of the nation itself.

Providing access to education is necessary in India from a global perspective as well. Globally, various international institutions have come forth and have created various education development agendas. In the Sustainable Development Goals (SDGs), there is Goal 4 which aims to provide quality education to children and young individuals and at the same time make education accessible to everyone. India has adopted the Goal 4 of SDGs and seeks to promote inclusive and equitable quality education and at the same time provide various educational opportunities to all. However, in order to achieve such lofty global expectations, it becomes important for the Indian government to change the existing system of education.

From a global perspective, there is a huge demand for knowledge. The world of today is advancing at a rapid scale with changes in leaps and bounds occurring in the field of science and technology. Data is the new oil of contemporary times. Rapid growth in various fields such as artificial intelligence etc., are only making the world gravitate towards creation of jobs that require specialized knowledge as many areas in the industrialized sectors are being taken over by machines. Therefore, it has now become very much important for the people to acquire specialized knowledge and skill set in order to compete in the global market. Same can be said for nations also as the nations that do not promote or emphasise on quality knowledge will only be left behind when the world takes the next quantum leap. Another point that is to be noted here is that knowledge is not only a requirement for science-based fields but is also very necessary for non-science fields such as humanities, social science, mass communication etc., as these fields are multidisciplinary by nature and more importantly play an important role in the policy formulation and implementation process in a nation. The world of today is seeing a rise of different yet common problems and issues that require the formulation and implementation of somewhat common solutions in order to aid in the betterment of the world. This search for common solutions to global problems can only be found when every individual has access to quality education. Without quality education, individuals and nations will be left behind when the global community takes the next leap towards its betterment. This holds true for a developing nation such as India wherein the impact of global issues and events can be felt at the very grassroots levels as well. Therefore, for India to succeed where many have failed, it is necessary for the Indian government to provide quality information to every Indian in every possible way.

With the world undergoing change in seconds, it has become important for the government to make the child or the individual learn new subjects in order to make them more adaptable to the needs of the changing world but at the same time change the very way of learning as well. Thus, it becomes important for the learning process to be more oriented towards problem-solving, critical thinking, multidisciplinary, adaptive, innovative etc., in order to make the learner more adaptable to the shifting nature of the world. Pedagogics is to be changed in order to make the learning experience more pragmatic, all-inclusive, cohesive, examination and discovery oriented, discussion based, learner centred, flexible and entertaining. The curriculum that is to be developed in respect to the learning process needs to be multidisciplinary by nature so as to develop the overall character of the learner and in turn make the process of learning more inclusive by nature. It is important that the education that is imparted upon the learner makes the learner more principled, balanced, concerned, thoughtful and at same time more competent to get the job for which they have worked hard.

In contemporary times, it has become important that major reforms be introduced into existing education and learning systems. These reforms need to make the learning system more quality, equity and integrity based that starts from the early childhood learning system and carried on to higher education learning systems.

When it comes to democratic nations like India, the education system needs to be changed wherein every individual is able to access quality-based education irrespective of their various socio-cultural backgrounds. The Government of India has come up with a new educational policy titled as The National Education Policy (NEP) 2020. The NEP 2020 aims to bring forth reforms in the educational sector that transform the process of education in schools and higher education institutions across India and therefore make India a leading power in the global knowledge arena. The NEP 2020 was approved by the Union Cabinet, which was chaired by the Prime Minister of India, Shri Narendra Modi. An important point to be noted here is that the NEP 2020 has replaced the earlier National Education Policy that was implemented in the year 1986.

The NEP 2020 aims to provide education that is accessible, equal to all, quality based, is affordable and ultimately accountable which is in accordance to the 2030 Agenda for Sustainable Development. The NEP 2020 wants to transform the Indian educational landscape, making India a knowledge and education superpower by bringing forth the unique capabilities of each learner at both school and higher education levels.

13.2.1 History of Educational Policies in India

Post independence, India had to build its educational infrastructure from square one. The total number of educational institutions were very less, many vocational

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and technical based courses at the school and higher educational levels were underdeveloped and lacked proper manpower trained to handle subjects of importance. All over India there was educational inequality wherein different regions had different ratios of individuals influenced by their socio-cultural markers. The overall standard was hardly satisfactory as at the school level more emphasis was given to learning the global English language and less importance was given to various other subjects including the study of diverse Indian languages. The percentage of individuals was really less as the educational expenditure was also limited to the overall development of education and learning system prevalent in India.

In order to tackle the dire situation prevalent in the Indian educational sector post-independence, the then Indian government came up with various committees and commissions that were tasked with the duty of coming up with solutions to the problems that plagued the Indian educational system. At this juncture, it was felt by the authorities to create more universities as these universities were thought would act as reservoirs of knowledge on one hand and on the other would provide employment to many as well. Also, the presence of universities was thought to provide proper direction to the nation by making the individual involved in the learning process to come out of the ignorance quagmire and thereby make the individual more scientific and rational by nature. Keeping this in mind, between 1948-49 the University Education Commission was created, and its main emphasis was on higher education. The Commission defined the duties that higher education institutions need to carry out that enable the creation of individuals who in turn carry out the process of national development in various areas. One of the duties of University, as per the Commission, was to produce individuals who would go on to become sound administrators and workers as the need of hour was to have people that aid in the development of the nation both administratively and industrially. The Commission also gave certain guidelines to school education which were to provide sound education to the learner and at the same time make the learner more skill oriented in case they don't want to go to a university.

Between 1952-53, the Secondary Education Commission was created. The main objectives of the commission were as follows:

- Firstly, the commission wanted the installation of a higher secondary system.
- Secondly, the commission wanted the diversification of courses.
- Thirdly, the commission introduced the three-language formula.
- Fourthly, the commission emphasized on providing guidance to the educational and vocational sectors.

- Fifth, the commission aimed at the improvement of the existing teaching and educational methodologies.
- Lastly, the commission stressed upon bringing forth changes in existing educational infrastructure to cater to the growing demands of the learner.

Between 1964-66, the Education Commission was introduced in order to verbalize a comprehensible educational policy for India. The Commission was very much inclusive by nature as it studied all the aspects of the existing educational system. It aimed at bringing in an all-round change to existing educational system and at the same time create a national educational framework. As per the Commission, education is important to increase productivity, promote unity at all levels including national and promote overall development of the society.

In 2005, the National Knowledge Commission (NKC) was created in order to improve the overall quality of education that being offered to the Indian learner. The main objective of the NKC was to create a framework that would be used in order to bring forth change in various knowledge based Indian institutions so as to strengthen the nation in order to face the challenges of the coming future. The commission had suggested that when it comes to bringing forth policy in school education it was important to consult the various State government as they are responsible for it.

Apart from the setting up of various commissions that focussed at different aspects of the Indian educational sector, there were policies as well that were formulated and implemented by the Indian government whose main aim, like the commissions, was the betterment of the Indian educational sector. These policies are as follows:

The National Policy on Education was created in 1968 in order to reconstruct the educational system of the nation at all levels, give importance to the study of subjects such as Science and Technology, enable the learners to develop a moral and ethical side to them and bring together both the people and the education as both are interdependent on each other.

In 1986, the National Educational Policy was reviewed and revised in order to achieve various objectives and goals that would make the Indian nation stand tall to the challenges of the coming decades. The main objectives of the policy were to increase access to education, raise the educational standards, strengthen the existing values of secularism, socialism and equality (as enshrined in the Indian Constitution).

The Indian Government in order to boost the educational sector implemented schooling systems as well. These schooling systems were mentioned in the aforementioned commissions and policies and are the Common School System (CSS), Neighbourhood Schools, Alternative Schools. Several schemes such as

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the Sarva Shiksha Abhiyan (SSA), National Curriculum Framework (NCF) and the strengthening of the educational sector by the implementation of erstwhile Five-Years Plan in the educational sector have also been emphasised.

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Check Your Progress

1. Which SDG aims to provide quality education?
2. What is the orientation required in the learning process in order to make the learner more adaptable to the shifting nature of the world?
3. Mention the educational policy that the National Education Policy 2020 has replaced.
4. Name the education commission which introduced the three-language formula.

13.3 THE NATIONAL EDUCATION POLICY, 2020

The New National Education Policy 2020 was formulated by the Indian Government is based upon the following principles:

- Recognizing and promoting the unique capabilities of each student via the sensitizing of teachers and parent as well in order to enable the learner to develop, both academically and non-academically.
- Making the learner, by the time they reach Grade 3, literate in language and numbers.
- Enabling a choice-based system to be flexible so that the learner is able to chart their own trajectories that are based upon their own interests and talents.
- Giving equal value to science and non-science subjects; to curriculum and extra-curricular activities; to vocational and academic streams of study.
- Enabling the learning system to be multidisciplinary by nature as the world outside the classroom is becoming more multidisciplinary with each passing day.
- Enabling the learner to understand the concept rather than letting mug up the content.
- Promoting of creative and critical form of thinking.
- Giving more emphasis on ethics and values that are the core of the Indian socio-cultural fabric and at the same time making the learner respect the Indian Constitution and Democracy and their associated values.
- Strengthening the power of language by the promotion of multilingualism in the teaching-learning process.

- Making the learner embrace more skills that will make the learner adapt to the needs of the changing outside world. These skills include the ability to communicate with peers, work with known and unknown team members, cooperate with peers and others involved in the teaching-learning process and lastly ability to adapt to change.
- Using formative assessment techniques that enables a feedback system wherein both the teacher and the student help in each other's development and overall growth by providing the necessary feedback throughout the teaching-learning process.
- Using technology in the teaching-learning process so as to make the overall process more inclusive by nature.
- Promoting diversity and local context in all syllabus, pedagogics and program.
- Making the teaching-learning process more inclusive and equal.
- Connecting all levels of education i.e., from early childhood care and education to school education to higher education in a synergistic manner.
- Creating a positive environment for the teachers and the instructors as they are the heart of the teaching-learning process.
- Creating a framework that is neither too rigid nor too flexible. This framework will make the educational system more transparent, efficient through the use of audit and public disclosure-based methods and at the same time will enable the promotion of various ideas.
- Promoting research for overall development of the Indian educational sector.
- Creating a system of continuous progress-based review system that is research based and is assessed by various subject experts.
- Creating a bridge between ancient and modern culture, traditions, morals, values, ethics and knowledge.
- Ensuring access to quality education as an essential right of every child in India.
- Enabling more investment in the Indian educational sector so as to make it stronger and more vibrant and increase more community participation as well.

Based upon the aforementioned principles of the NEP 2020, it can be stated here that the policy wants to create an Indian education system that embraces its past and ancient knowledge-based systems and traditions and simultaneously steps in the future by bringing forth very much needed changes in the current educational sector that makes the teacher, instructor, learner, parent and the society in general more adaptable to the ever-changing global conditions. The main aim is to make India a global knowledge superpower through the development of syllabus and

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curriculums that help develop respect towards the nation, the Indian Constitution and thereby making the individual aware of what their role is in the ever-changing world.

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Key points of NEP 2020

The important points of the NEP 2020 are as follows:

- **Early Childhood Care and Education initiatives:** The policy recommends that early childhood care and education be developed in a two-part curriculum that is made up of (1) guidelines that will be used by the parents and teachers of those students who are up to 3 years of age (2) a framework for carrying out various education related activities for students between the ages of 3-8 years. The policy also states these recommendations will be carried out by changing the existing nature of the Anganwadi initiative and thereby making them closer in proximity to primary schools.
- **Increasing the scope of Right to Education Act, 2009:** The policy has stated that the range of the Right to Education Act, 2009 be extended and cover Early Childhood and Secondary School education levels under its purview. By doing so, the RTE will be able cover all the children between the ages of 3-18 years. Additionally, the policy also states that no child be detained until class eight.
- **Creation of proper framework for the curriculum's:** The policy emphasises on bringing forth reforms in the framework of the current curriculum of school education that are based upon the needs of the student themselves. The policy states that 5-3-3-4 pattern which will guide the curriculum and pedagogical structure of the school education system. The initial five years will be foundational years wherein the initial 3 years will be pre-primary schools and the last two years will be in class 1 and 2. The next three years will be preparatory years and will cover classes 3 to 5. The next three years will be the middle stage which will consist of classes 6 to 8. The last four years will be secondary stage and will cover classes 9 to 12.
- **Reforms in the school exam system:** The policy states that in order to change the educational sector in India, it is necessary to bring reform in the way as to how schools conduct exams. Tracking the progress of the student throughout their school life, restricting of the class 10 board exam will focus on testing their skills, understanding of core concepts and high-thinking capacities as well. The policy also recommends the use of State Census Exams in classes 3,5,8 in order to assess the competence of the learner.
- **Creation of regulatory structure and accreditation institutions for higher educational institutions:** In relation to the restructuring of the regulatory and accreditation mechanisms followed in higher educational institutions, the NEP has stated that firstly there needs to be the National Higher Education Regulatory Authority (NHERA) to be set up and secondly

the National Assessment and Accreditation Council (NAAC) be separated from the UGC and work as an independent and self-governing body.

- **Creating research-oriented foundations at national level:** The policy has stated there is an urgent need to improve the quality of research in India. In order to do so the policy recommends the creation and establishment of the National Research Foundation which will be an autonomous body that would administer the mentoring, financial backing and capacity-building aspects for quality research in India.
- The NEP states that there is the need to establish a top education body that will be headed by the Prime Minister of India. The name of this top educational body will be Rashtriya Shiksha Aayog/ National Education Commission.
- **Increasing finance in the educational sector:** The NEP 2020 has stated there is the need to increase expenditure in the educational sector by insisting on 6% of GDP to be spent on education and simultaneously increasing public expenditure as well.
- The NEP has also suggested the setting up of various autonomous institutions that work in the arrangement, introduction and use of technology in various educational institutions.
- As per the recommendation of the NEP 2020, students of classes 9-12 need to receive vocational training in one vocational subject, the curriculum delivery methods used by the schools for imparting vocational educational need to aligned with the goals and objectives of the National Skills Qualifications Framework (NSQF) and lastly the higher education institutions need to provide vocational course tied in with the undergraduate courses.
- The policy also recommends the continuation of the Three Language Formula wherein the State governments will adopt and implement the study of modern Indian language in their respective states alongside English and the regional language of their respective state.

Evaluation

Post-independence many governments have come into power and with each successive government there has been new policies, commissions, programmes introduced in order to develop the Indian education sector. Even though the process of development has been a slow and steady process, it has nonetheless developed the educational sector to such an extent that we are slowly and steadily creating a niche for ourselves in the global arena. The NEP 2020 is a welcomed breath of fresh air in the Indian educational sector as it seeks to build upon the legacy that was created by policies, commissions and programmes before. The NEP 2020 aims to bring education to all irrespective of their socio-cultural markers and backgrounds. The policy aims to bring in more two crore students within the

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educational fold of the nation. The existing 10+2 structure will be replaced by the 5+3+3+4 structure wherein importance will be given to the formative years of the child as well. This will be carried out by collaborating with the Anganwadi system and setting them up in the close proximity of primary schools. For those children who are up to age 8, the policy recommends the creation of a National Curricular and Pedagogical Framework for Early Childhood Care and Education that will be planned and established by the NCERT. A National Mission on Foundational Literacy and Numeracy is to be set up by the Education Ministry as policy recommendations.

In spite of the many advantages, the NEP 2020 has certain drawbacks to it. For instance, the policy states the three-language policy wherein the State governments can implement the study of a modern-day Indian language alongside the study of English and their regional language. Problem arises due to the lack of knowledgeable and experienced teachers. The policy states that those who pursue undergraduate courses need to study for four years while those pursuing diploma need to do for 2 years only. This might make the student leave their course midway or they might be more interested in pursuing diploma courses which might affect the infrastructure of educational institutions who are more dependent upon undergraduate courses.

With the NEP 2020 being rolled out by the Indian government, it is clear that the Indian educational sector is on the path of development and growth. In spite of the many disadvantages, it is to be noted that the policy has its fair share of advantages that will only help in the growth and overall development of the Indian educational sector.

Check Your Progress

5. What is the grade at which the learner should be literate in language and numbers as per the NEP 2020?
6. List the skills that as per NEP 2020 will make the learner adapt to the needs of the changing outside world.
7. How does the NEP 2020 plan to increase the scope of National Education Act 2009?
8. What is the per cent of GDP which should be spent on education as per the NEP 2020?

13.4 ANSWERS TO CHECK YOUR PROGRESS QUESTIONS

1. In the Sustainable Development Goals (SDGs), there is Goal 4 which aims to provide quality education to children and young individuals and at the same time make education accessible to everyone.

2. It is important for the learning process to be more oriented towards problem-solving, critical thinking, multidisciplinary, adaptive, innovative etc., in order to make the learner more adaptable to the shifting nature of the world.
3. The NEP 2020 has replaced the National Education Policy that was implemented in 1986.
4. It was the Secondary Education Commission (1952-53) which introduced the three-language formula.
5. As per NEP 2020, the learner by the time they reach Grade 3 should be literate in language and numbers.
6. Making the learner embrace more skills that will make the learner adapt to the needs of the changing outside world. These skills include the ability to communicate with peers, work with known and unknown team members, cooperate with peers and others involved in the teaching-learning process and lastly ability to adapt to change.
7. The policy has stated that the range of the Right to Education Act, 2009 be extended and cover Early Childhood and Secondary School education levels under its purview. By doing so, the RTE will be able cover all the children between the ages of 3-18 years. Additionally, the policy also states that no child be detained until class eight.
8. The NEP 2020 has stated there is the need to increase expenditure in the educational sector by insisting on 6% of GDP to be spent on education and simultaneously increasing public expenditure as well.

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13.5 SUMMARY

- Providing access to quality education is the sure shot way of developing the individual, society and the nation in an all-round manner. With the Indian populace rising it becomes very important for the government to provide various opportunities in relation to the education sector that will determine the future of the nation itself.
- Providing access to education is necessary in India from a global perspective as well. Globally, various international institutions have come forth and have created various education development agendas.
- From a global perspective, there is a huge demand for knowledge. The world of today is advancing at a rapid scale with leaps and bounds occurring in the field of science and technology.

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- With the world undergoing change in seconds, it has become important for the government to make the child or the individual learn new subjects in order to make them more adaptable to the needs of the changing world but at the same time change the very way of learning as well.
- Post-independence, India had to build its educational infrastructure from square one. In order to tackle the dire situation prevalent in the Indian educational sector post-independence, the then Indian government came up with various committees and commissions that tasked with the duty of coming up with solutions to the problems that plagued the Indian educational system.
- NEP 2020 policy wants to create an Indian education system that embraces its past and ancient knowledge-based systems and traditions and simultaneously steps in the future by bringing forth very much needed changes in the current educational sector that makes the teacher, instructor, learner, parent and the society in general more adaptable to the ever-changing global conditions.
- The NEP 2020 is a welcomed breath of fresh air in the Indian educational sector as it seeks to build upon the legacy that was created by policies, commissions and programmes before. The NEP 2020 aims to bring education to all irrespective of their socio-cultural markers and backgrounds.
- In spite of the many advantages, the NEP 2020 has certain drawbacks to it. With the NEP 2020 being rolled out by the Indian government, it is clear that the Indian educational sector is on the path of development and growth. In spite of the many disadvantages, it is to be noted that the policy has its fair share advantages that will only help in the growth and overall development of the Indian educational sector.

13.6 KEY WORDS

- **Sustainable Development Goals (SDGs):** These are a universal call to action to end poverty, protect the planet and improve the lives and prospects of everyone, everywhere adopted by all UN Member States in 2015, as part of the 2030 Agenda for Sustainable Development which set out a 15-year plan to achieve the Goals.
- **New National Education Policy 2020:** It refers to the education policy prepared by the Ministry of Human Resource and Development and

approved by the Union Cabinet in 2020 which provides the outline overseeing the education system in India.

- **Anganwadi initiative:** It refers to the rural child-care centres established in 1975 under the Integrated Child Development Services program.
- **Right to Education Act:** It was an Act passed in the year 2009 providing the right to free and compulsory education for children between six to fourteen years of age under Article 21A of the Indian Constitution.

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13.7 SELF ASSESSMENT QUESTIONS AND EXERCISES

Short Answer Questions

1. Why is there a huge demand for knowledge from the global perspective today?
2. How is the pedagogics and curriculum to be changed for adapting to the modern world?
3. What was the status of education system in India in the initial years post-independence?
4. Why was a need felt in the early years of independence by authorities to create more universities?
5. List the objectives of the Secondary Educational Commission.
6. Mention the formative assessment techniques to be used in education as per the NEP 2020.
7. Write a short note on the 5-3-3-4 pattern as per the NEP 2020.
8. What are the institutions, research oriented as well as regulatory and accrediting in nature, to be established as per the NEP 2020?
9. Briefly explain the drawbacks against the NEP 2020.

Long Answer Questions

1. Discuss the educational policies and commissions set up in India after independence.
2. Explain the principles on which the New Educational Policy 2020 by the Indian government is based.
3. Describe the important points of the NEP 2020.

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13.8 FURTHER READINGS

- Moran, M, Martin Rein, and Robert E. Goodin. 2006. *The Oxford Handbook of Public Policy*. Oxford: Oxford University Press.
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UNIT 14 AGRICULTURAL POLICY OF INDIA-EVALUATION AND ANALYSIS

*Agricultural Policy of
India-Evaluation and
Analysis*

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Structure

- 14.0 Introduction
- 14.1 Objectives
- 14.2 Indian Agricultural Sector
 - 14.2.1 History of Agricultural Policies in India
 - 14.2.2 Need for Agricultural Policies
- 14.3 Phases of Indian Agricultural Policies–Analysis
- 14.4 Answers to Check Your Progress Questions
- 14.5 Summary
- 14.6 Key Words
- 14.7 Self Assessment Questions and Exercises
- 14.8 Further Readings

14.0 INTRODUCTION

The agricultural sector is a major contributor to the Indian economy. India is a global producer of major crops such as pulses, wheat, rice, etc. Over the years, the government has tried to build a framework to ease the agricultural process. This was necessitated due to various issues in the agricultural sector. These issues include fragmentation of land holdings, lack of proper agricultural labour infrastructure, increased use of various machines in the Indian agricultural sector and need for more financial assistance. This unit will discuss in detail the various agricultural policies introduced over the years. The more recent farm laws introduced in 2020 will also be discussed.

14.1 OBJECTIVES

After going through this unit, you will be able to:

- Discuss the importance of agricultural sector in the Indian economy
- Explain the need for agricultural policies in India
- Examine the phases of agricultural policies in India

14.2 INDIAN AGRICULTURAL SECTOR

The Indian agricultural sector plays an important role in the overall growth of the Indian economy. The agricultural sector in Indian provides maximum livelihood to

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the Indian populace and is a huge contributor to the Indian GDP. Agriculture is necessary for the growth and survival of the Indian nation. The total geographical land mass of the Indian state is 329 million hectares and the overall climate of India is very favourable. The above two factors facilitates agricultural practices throughout the year which makes it possible to use the agricultural land twice. The agricultural sector is undergoing change wherein the agricultural output is geared towards the production of crops that have a high-value and towards the production of animal-based products such as dairy, poultry, etc.

From a growth point of view, the agricultural sector has performed exceptionally well as it has made India self-reliant. The crops and products are produced within the borders of the nation itself. The credit for this goes to the formulation and implementation of the Green Revolution by the Government of India and the Indian scientific community. Over the past few decades, the agricultural sector has seen a slow and steady growth rate due to the doubling of capital formation in the sector. Capital formation is the slow and steady accumulation of financial resources during a particular period of accounting in a particular nation. Different nations are continuously in requirement of producing new capital goods in order to replenish the older and existing goods as a nation that is unable to replenish capital goods will only have its production decline and therefore will cease to exist. In contemporary times, it has become important to have capital formation so that a nation can aggregate its income and thereby help the economy grow by leaps and bounds.

As per various documents and agricultural experts, it has been seen that India is a global producer of various pulses, milk and dairy products, fruits and vegetables, spices, non-vegetarian produce, fibrous and staple crops. It is the second largest producer of wheat, rice, vegetables, sugarcane, cotton etc., and lastly the third largest producer of various cereals, poultry produce, dry fruits etc., as well.

14.2.1 History of Agricultural Policies in India

Within India, the agricultural sector is one of the highly contested areas, with the government institutions having an unavoidable impact over the overall sector. The Government of India, both at the central and the state level, has passed various policies since the time of independence. These government policies serve as a regulatory framework that allows the sector to develop and grow. Out of the central and the state government, from the perspective of the India Constitution, it is the State government that has the constitutional authority over all of the agricultural sector. Post-Independence, India pursued the policy of becoming self-sufficient in terms of staple food items such as rice and wheat. The initial agricultural policies that were formulated and implemented delved into the bringing forth various reforms in relation to the land itself; the policies also aimed at expanding the area for cultivation purposes, developing the agricultural communities and lastly redeveloping credit-based institutions to suit the needs of the rural agricultural populace. Initial

agricultural trade was severely limited and was under the tight control and influence of the government bodies and institutions.

In the 1960s, the agricultural sector in India saw huge reforms being ushered in that led to bringing in input subsidies within the sector, the formulation and implementation of Minimum Support Prices (MSPs), creation of public storage units, improving existing techniques related to the obtaining and circulation of essential food grains, and lastly, bringing forth various trade protection measures. Green revolution was a boon to the Indian agricultural sector as it developed the agricultural technology in India that had a significant impact throughout the decades. Later on, subsequent Indian government have introduced many changes that have led to the development and growth of the Indian agricultural sector.

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14.2.2 Need for Agricultural Policies

The Indian agricultural sector over the decades has required a timely introduction of agricultural policies in order to overcome the following issues and problems related to the agricultural sector:

Firstly, post-independence, it was seen that the highly regarded occupation of agriculture was unable to support entire families. This was because of the fragmentation of land holdings, deteriorating yields of various crops, and various other reasons. Moreover, the very act of farming was not compensable and the rise of urbanization resulted in the loss of agricultural fields.

Secondly, the lack of proper agricultural labour infrastructure exacerbated the problem. In the days of the yore, labour was mostly confined to a particular area and this confined labour would be working in the agricultural sector of the particular area. However, with the nation gaining independence, it was seen the labour that was previously confined to a particular area was now diversifying itself in order to reap the benefits of the economy that was previously subservient to the colonial powers. The rise of industries, urban areas, infrastructure development projects and the introduction of various services etc., led to the migration of labour and a decline in agricultural activities as those who were earlier carrying out various agricultural labour activities were leaving and joining greener pastures.

Thirdly, the increased use of various machines in the Indian agricultural sector further impacted the sector. Initially, everything was carried out by the people involved in carrying out various agricultural practices. But with the advent of machines in the agricultural scenario, it was seen that various agricultural machines such as tractors, harvesters etc. were being used to harvest paddy and other high-value crops such as sugarcane. Machines were also being used extensively in dairy industries and at the same time there was new market emerging in India which was heavily dependent upon the use of herbicides and insecticides. This led to the downfall of the labour industry which was involved in the manual removal of weeds and other unwanted plants from the agricultural fields. Not only the farmers, but various State governments were also providing subsidies to those who were investing in the use of agricultural machines, fertilizers, insecticides, etc.

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Fourthly, the Indian agricultural scenario is riddled with small land holdings. Because of this the rural farmlands were unable to reap various benefits of the developments that were occurring in the agricultural sector.

Lastly, carrying out various farming activities needed more financial assistance due to the increasing costs and decreasing productivity levels of the farming. The high cost associated with the practice of farming can also be attributed to the presence of small and fragmented land holdings, unwanted practices before and after carrying out the harvest process, heavy dependence upon weather patterns that are often erratic, etc. This has led to the increase in cost of farming and an overall decrease in productivity.

Check Your Progress

1. What is capital formation?
2. What were the agricultural policies in India aimed at post-Independence?
3. Why was the Green Revolution considered a boon to the agricultural sector?
4. What led to migration of labour from the agricultural sector to other sectors?

14.3 PHASES OF INDIAN AGRICULTURAL POLICIES—ANALYSIS

The Indian agricultural sector has undergone changes, from a policy perspective, in the following phases:

The very first phase of introducing agricultural policies and reforms took place between the 50s and the 60s. During this phase, the agricultural sector in India saw the formulation and implementation of various policies that stressed on increasing the levels of food production and food security throughout the Indian state. These policies brought forth various agricultural reforms that were aimed at bringing in investments in irrigation and power related areas of the Indian agricultural sector. The very first policy that was introduced by the State government was the Zamindar Abolition Act of the 1950s. The main objective of the policy was to eliminate various land-based intermediaries, enabling the ownership of the lands to those who tilled the lands, thereby improving the quality of landholding. The government introduced further changes to the policy in order to bring about equality among the rural farming populace. Ceiling was introduced to the land holdings. The state exerted control over the land that was not being used or was laying idle and distributed these lands to the underprivileged rural individuals. The government ensured that the land that was being re-distributed to the underprivileged individuals was not sold out or being leased to others. The government also made the rural farming populace consolidate their landholdings that were either scattered or

fragmented. By doing so, the rural populace was able to gain access to various reforms that were being introduced in the agricultural sector.

The second phase of introducing agriculture related policies were from mid 60s to the early 80s. The second phase of agricultural policies began with the introduction of green revolution. Green revolution is a watershed moment in the Indian agricultural sector that industrialized and mechanised the Indian agricultural setup through the adoption of various modern methods and technologies. It involved the use of various high yielding variety (HYV) seeds, use of mechanized implements, well developed irrigational facilities, use of various pesticides, insecticides and herbicides. In short, science and technology were leveraged to conduct agricultural research and develop new agriculture-based technologies in order to increase the level of productivity in the developing half of the world. Apart from the use of science and technology, this phase saw the setting up of various institutions all over India. Institutions such as the Commission for Agricultural Costs and Prices (formerly known as Agricultural Prices Commission), Food Corporation of India, Central Warehousing Corporation and various State Agricultural Universities were created in order to boost the Indian agricultural sector. Another important point to be noted here is that various commercial banks were nationalized in order to increase the flow of capital into the agricultural sector. In a similar manner, several financial institutions were also created in order to boost the agricultural sector as well. These financial institutions were the National Bank for Agriculture and Rural Development (NABARD), various Regional Rural Banks (RRBs), etc. These institutions were created to increase financial assistance to the farmers of our nation. Simultaneously, various cooperative credit-based societies were also created and established. Due to the use of aforementioned strategies, the agricultural sector saw a huge boost and started to grow in leaps and bounds. Crop yields started to increase and there was an increase in the production level of various food grains. In spite of all the plus points of the green revolution it is to be noted here that the majority of impact was seen with respect to rice and wheat. The low yield varieties of both the crops were replaced by high yield varieties which in long run made the Indian farmer more dependent upon high yield varieties. The use of fertilizers and various other agriculture related chemicals has increased but in contemporary times it has reduced to a certain extent as various information and communication technologies are helping the Indian farmer choose an environmentally friendly option when it comes to protecting their crops from various diseases and pests. The advent of green revolution has made India self-sufficient in food grains. It has created more jobs in the agricultural sector due to the opening of various industries related to the production of fertilizers and other agriculture related chemicals. Moreover, it has led to the development of various agriculture related machineries. The funding in the agriculture sector has also increased.

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The third phase of introducing agricultural policies were from the 80s to early 90s. Under this phase, the impact and achievements of the green revolution were transferred to increasing the growth of various other crops and through other parts of India as well. This transfer of technologies created during the green revolution increased the level of output from the agricultural sector which in turn maximised the level of financial investment in the sector as well. The agriculture industry in India, at this particular juncture in time, also saw the diversification wherein farmers and investors alike started to venture into the production of various other commodities such as dairy produce, poultry, pisciculture, vegetables and fruits. This diversification further increased the growth of the agricultural sector. Research was also diversified as the scientific community involved in agriculture started to research into the cultivation of various pulses, oilseeds and other grains that further increased the growth of the agricultural sector as well.

The fourth phase of agricultural policies were from the 90s to the 2000s. In this phase, the government decided to bring forth various changes to improve the functioning of agricultural-based markets. This was done by bringing down the level of unwanted legislations and finally liberalising the existing agricultural trade practices. In the 90s, the economic reforms that were initiated by the government had a trickle-down effect because of which the agricultural sector benefitted a lot as well. Removal of various restrictions and control over the agricultural trade led to the liberalization of exporting and importing various agricultural produces and increased agricultural trade. During this phase, India had a monumental rise in agricultural trade at both regional as well as international scale. In 2000, The National Agricultural Policy (NAP) was created which aimed at a growth of 4% in agriculture via the sustainable use of resources on a yearly basis. Conservation of resources like soil, water and biodiversity were to be carried out in order to increase the growth of the agricultural sector. The Tenth Five-Year Plan (2002-07) also stated that there is need for agricultural policy formulation and implementation in relation to the environmental conditions prevalent in different parts of India especially eastern and north-eastern regions of India. In 2007, the then Indian Government approved The National Policy for Farmers which focused on the overall well-being of the Indian farmer. The Eleventh Five-Year Plan (2007-12) focused on increasing the yearly growth of the agricultural sector by bringing in technology, efficiency of investments, increase in various support system for the overall wellbeing of the farmer, giving various subsidies at a rationalized rate, diversifying production methods, promoting food security, access to land for those whose farmers who are unable to do so, skill development, opening more lines of credit, and water management. The Twelfth and the last Five-Year Plan (2012-17) focussed on providing more employment opportunities, enabling policy

diversification to help the farmer in every possible manner and bringing in the private sector to help in the development of the agricultural sector of India.

The fifth and the current phase of agricultural policies created post 2014 has brought in a different level of change throughout the agricultural sector. First thing to note here is that when the current government came into power in 2014, it saw droughts throughout 2014-15. Then in 2017 and 2018, the level of monsoon was low in some areas and the other parts of the nation were flooded due to torrential rainfall. In spite of all the natural calamities taking place at an unprecedented level, the agricultural output between 2014 and 2019 grew at 4.03 per cent. Between 2014 and 2019 the MSP offered for food items such as cereals, pulses and oilseeds was less and the low offering of MSP in fact helped control the prices of the aforementioned products and at the same kept their production going on. The rate of inflation for various food items and products was relatively lower in comparison to the previous governments and the lower rate of inflation helped many buy agricultural-based food items and products at a relatively cheaper price. Agriculture sector grew between 2014-2019 due to higher productivity rate; creating improvised infrastructure in the forms of roads for the supply and transport of various agricultural commodities; increasing fertilizer subsidy; increasing expenditure of the budget in the development of various key aspects of the agricultural sector, development in rural areas and updating existing irrigation facilities and increasing these facilities as well. The State government, between 2014 and 2019, were given the financial freedom to develop their own development schemes in order to enhance the agricultural sector in their respective states. In 2020, the current government introduced three new farm reform laws, during the COVID19 pandemic, which sought to bring changes to the Indian agricultural sector. These three laws enable the farmer to sell their farm produce to whomsoever they want and wherever they want to do so. The three newly introduced farm reform laws, though touted as being ambitious by many, seek to reduce the existing inefficiencies in the agricultural sector by bringing in various investments and creating an ecosystem wherein the farmer and the buyer are free to operate amongst themselves. These newly introduced policies are as follows:

The very first policy is The Farmer's Produce Trade and Commerce (Promotion and Facilitation) Act, 2020. The Act aims to create a system wherein the Indian farmer and trader will be able to sell and purchase produce in a choice-based manner which will lead to creating a system wherein the prices will be competitive and the overall system will be open without any barriers pertaining to interstate and intrastate trade of agricultural produce. The Act aims to be a system wherein the resistive nature of the existing agricultural markets will be downsized and more options will be introduced to the farmer in relation to getting better prices for their produce.

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The second policy is The Farmers (Empowerment and Protection) Agreement of Price Assurance and Farm Services Act, 2020. The Act wants to transform the Indian agricultural sector by creating a national agricultural agreement system that protects and empowers farmers to interact in an equal and transparent manner with various other stakeholders in the agricultural sector and business. The farmers, as per the Act, will be able to interact with companies that are involved in carrying out agribusiness, companies that act as food processors, wholesalers, exporters, major retail outlets etc., to sell their immediate as well as future produce as well. The Act also strengthens the farmer by removing the burden of unpredictability from their shoulders and enables the farmer to gain access to new and upcoming technologies that can be used in turn to generate more agricultural produce. Main objective of the Act is to increase the earnings of the Indian farmers. The Act provides proper guidelines for the redressal of various issues and problems that can arise between the farmer and the buyer in certain situations.

The third and final policy introduced by the current government in order to strengthen the Indian agricultural sector is The Essential Commodities (Amendment) Act, 2020. The Act aims to reignite the entrepreneurial spirit in the agricultural sector by easing the process of investing in the agricultural process in a smooth and precise manner. The law helps lay the groundwork for the creation of cold storage area, food supply chain modernisation units etc. By doing so both the farmer and the customer will be benefitted the most and the prices will also be stable most of the times. Creation of a climate that does better to the Indian agricultural sector is one of the core objectives of the bill itself and with this the rise of storage unit's wastage of agriproducts will also decline. The bill aims to exclude certain items from the essential commodities list and thereby deregulates the manufacturing, storing and selling of certain items such as cereals, pulses, edible oils, onions, etc. The Act also aims to bring in new investments in the form of FDI in the agricultural sector of India.

As per the Indian government, the aforementioned laws will benefit every possible way. These laws will create a system wherein both the farmer and the buyer will have the ability to choose when it comes to selling and buying of agricultural produce to whom and from whom. These laws will enable the creation of a system that is free from any form of barriers when it comes to the trading of agricultural produce throughout the nation or state. Agricultural sector will see a tremendous growth with a rise in investments; this will lead to the creation of better infrastructure and ultimately an open market for all.

However, in spite of the many plus points to the aforementioned laws, there are negative points as well in the relation to the three laws. These are as follows:

In relation to the first law, The Farmer's Produce Trade and Commerce (Promotion and Facilitation) Act, 2020, it is felt by many that the income generation

for various State governments come from the respective Mandis/Agricultural Produce Market Committee (APMC). Many farmers believe that apart from the removal of the middleman, the law can also reduce or end the Minimum Support Price (MSP).

In relation to the second law, The Farmers (Empowerment & Protection) Agreement of Price Assurance and Farm Services Act, 2020, many have argued that the companies in order to increase their profit will try to deal with groups of farmers rather than individual farmers which will only result in conflicts and thereby can make the farmer and the company go back to dealing with the agent/middleman again.

In relation to the third law, The Essential Commodities (Amendment) Bill, 2020, many see that the Act legalises hoarding which in turn can cripple the prices of various agricultural items such as vegetables.

Conclusion

The Indian agricultural sector is in the middle as it uses a mixture of past and modern methods. The agricultural sector in India is made up of landholdings that are small and to some extent fragmented as well. It is mostly dependent upon the monsoon season for cultivation purposes. The existence of a variety of climatic conditions, lack of technology adoption, inadequate infrastructure, low yields and impracticable prices etc. are some of the important factors to consider. The agricultural sector is a major employer of labour to carry out various agricultural tasks and in spite of giving employment to a huge section of the society, the sector is unable to contribute much to the nation's GDP. The Indian agricultural sector is unable to develop and modernize itself and at the same time is unable to bring forth development amongst those involved in carrying out various agricultural practices.

With each government coming to power in an independent India, they have created various policies that enabled the development of the agricultural sector. However, this development is not much and in fact is very much limited by nature. Therefore, it has become important to create policies that work in tandem with the changing time and enable the farming community to adopt to various technology-based options so that in the coming future both the nation and the sector as both are interdependent on each other.

Check Your Progress

5. What was the objective of the Zamindar Abolition Act?
6. State the aim of the National Agricultural Policy 2000.
7. Mention the three farm laws introduced by the central government in 2020.

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14.4 ANSWERS TO CHECK YOUR PROGRESS QUESTIONS

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1. Capital formation is the slow and steady accumulation of financial resources during a particular period of accounting in a particular nation.
2. Post-Independence, India pursued the policy of becoming self-sufficient in terms of staple food items such as rice and wheat. The initial agricultural policies that were formulated and implemented delved into the bringing forth various reforms in relation to the land itself; the policies also aimed at expanding the area for cultivation purposes, developing the agricultural communities and lastly redeveloping credit-based institutions to suit the needs of the rural agricultural populace.
3. Green revolution was a boon to the Indian agricultural sector as it developed the agricultural technology in India that had a significant impact throughout the decades
4. The rise of industries, urban areas, infrastructure development projects and the introduction of various services etc., led to the migration of labour and a decline in agricultural activities as those who were earlier carrying out various agricultural labour activities were leaving and joining other sectors.
5. The main objective of the Zamindar Abolition Act was to eliminate various land-based intermediaries, enabling the ownership of the lands to those who tilled the lands, thereby improving the quality of landholding.
6. In 2000, The National Agricultural Policy (NAP) was created which aimed at a growth of 4% in agriculture via the sustainable use of resources on a yearly basis.
7. The three farm laws introduced in 2020 are The Farmer's Produce Trade and Commerce (Promotion and Facilitation) Act, The Farmers (Empowerment and Protection) Agreement of Price Assurance and Farm Services Act, and The Essential Commodities (Amendment) Act.

14.5 SUMMARY

- Within India, the agricultural sector is one of the highly contested areas, with the government institutions having an unavoidable impact over the overall sector. The Government of India, both at the central and the state level, has passed various policies since the time of independence.
- The initial agricultural policies that were formulated and implemented delved into the bringing forth various reforms in relation to the land itself; the policies

also aimed at expanding the area for cultivation purposes, developing the agricultural communities and lastly redeveloping credit-based institutions to suit the needs of the rural agricultural populace.

- In the 60s, the agricultural sector in India saw huge reforms being ushered in that led to bringing in input subsidies within the sector, the formulation and implementation of Minimum Support Prices (MSPs), creation of public storage units, improving existing techniques related to the obtaining and circulation of essential food grains, and lastly, bringing forth various trade protection measures.
- The fragmentation of land holdings, lack of proper agricultural labour infrastructure, increased use of various machines in the Indian agricultural sector and need for more financial assistance necessitated the introduction of agricultural policies in India.
- The very first phase of introducing agricultural policies and reforms took place between the 50s and the 60s. During this phase, the agricultural sector in India saw the formulation and implementation of various policies that stressed on increasing the levels of food production and food security throughout the Indian state.
- The very first policy that was introduced by the State government after Independence was the Zamindar Abolition Act of the 1950s. The main objective of the policy was to eliminate various land-based intermediaries, enabling the ownership of the lands to those who tilled the lands, thereby improving the quality of landholding.
- The second phase of introducing agriculture related policies were from mid 60s to the early 80s. The second phase of agricultural policies began with the introduction of green revolution.
- Green revolution is a watershed moment in the Indian agricultural sector that industrialized and mechanised the Indian agricultural setup through the adoption of various modern methods and technologies. It involved the use of various high yielding variety (HYV) seeds, use of mechanized implements, well developed irrigational facilities, use of various pesticides, insecticides and herbicides.
- Apart from the use of science and technology, the second phase saw the setting up of various institutions all over India. Institutions such as the Commission for Agricultural Costs and Prices (formerly known as Agricultural Prices Commission), Food Corporation of India, Central Warehousing Corporation and various State Agricultural Universities were created in order to boost the Indian agricultural sector.

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- In the second phase, several financial institutions were also created in order to boost the agricultural sector as well. These financial institutions were the National Bank for Agriculture and Rural Development (NABARD), various Regional Rural Banks (RRBs), etc.
- The third phase of introducing agricultural policies were from the 80s to early 90s. The agriculture industry in India, at this particular juncture in time, saw the diversification wherein farmers and investors alike started to venture into the production of various other commodities such as dairy produce, poultry, pisciculture, vegetables and fruits. This diversification further increased the growth of the agricultural sector.
- The fourth phase of agricultural policies were from the 90s to the 2000s. In this phase, the government decided to bring forth various changes to improve the functioning of agricultural-based markets. This was done by bringing down the level of unwanted legislations and finally liberalising the existing agricultural trade practices.
- In 2000, The National Agricultural Policy (NAP) was created which aimed at a growth of 4% in agriculture via the sustainable use of resources on a yearly basis.
- The fifth and the current phase of agricultural policies created under the current government has brought in a different level of change throughout the agricultural sector. In 2020, the current government introduced three new farm reform laws, during the Covid19 pandemic, which sought to bring changes to the Indian agricultural sector. These three laws enable the farmer to sell their farm produce to whomsoever they want and wherever they want to do so.
- The Farmer's Produce Trade and Commerce (Promotion and Facilitation) Act, 2020 aims to create a system wherein the Indian farmer and trader will be able to sell and purchase produce in a choice-based manner which will lead to creating a system wherein the prices will be competitive and the overall system will be open without any barriers pertaining to interstate and intrastate trade of agricultural produce.
- The Farmers (Empowerment and Protection) Agreement of Price Assurance and Farm Services Act, 2020 wants to transform the Indian agricultural sector by creating a national agricultural agreement system that protects and empowers farmers to interact in an equal and transparent manner with various other stakeholders in the agricultural sector and business.

- The Essential Commodities (Amendment) Act, 2020 aims to reignite the entrepreneurial spirit in the agricultural sector by easing the process of investing in the agricultural process in a smooth and precise manner.

14.6 KEY WORDS

- **GDP:** It is the total monetary or market value of all the finished goods and services produced within a country's borders in a specific time period.
- **Green Revolution:** It refers to a period when modern methods and technology were adopted in the agricultural sector. It involved the use of high yielding variety (HYV) seeds, tractors, irrigation facilities, pesticides, and fertilizers.
- **Capital formation:** It is the slow and steady accumulation of capital resources during a particular period of accounting in a particular nation.
- **Minimum Support Price (MSP):** It is an agricultural product price, set by the Government of India to purchase directly from the farmer.

14.7 SELF ASSESSMENT QUESTIONS AND EXERCISES

Short Answer Questions

1. Write a short note on history of agricultural policies.
2. Briefly mention the impact of machines on the agricultural sector.
3. How did the Green Revolution impact the agricultural sector in India?
4. What were the various institutions set up during the second phase of Indian agricultural policies?
5. What is the aim of The Essential Commodities (Amendment) Act?

Long Answer Questions

1. Discuss in detail the problems in the Indian agricultural sector that necessitated the introduction of agricultural policies.
2. Describe the challenges that were faced by the agricultural sector from 2014-2019.
3. Examine the advantages and the criticisms levied against the three farm laws introduced in 2020.

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14.8 FURTHER READINGS

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