

PUBLIC POLICY ANALYSIS, WILLIAM DUNN, PART 1-CHAPTER 1 & 2

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CHAPTER 1 – THE PROCESS OF POLICY ANALYSIS

Policy analysis is a process of multidisciplinary inquiry aiming at the creation, critical assessment, and communication of policy-relevant knowledge.

- **METHODOLOGY OF POLICY INQUIRY**

The methodology of policy inquiry refers to the critical investigation of potential solutions to practical problems. The methodology of policy inquiry contributes to the reflective understanding of theories, methods, and practices of specialized fields such as benefit–cost analysis in economics, implementation analysis in political science, and program budgeting in public administration.

- **MULTIDISCIPLINARY POLICY ANALYSIS**

Policy analysis is partly descriptive. It relies on traditional social science disciplines to describe and explain the causes and consequences of policies. But it is also normative, a term that refers to value judgments about what ought to be, in contrast to descriptive statements about what is. To investigate problems of efficiency and fairness, policy analysis draws on normative economics and decision analysis, as well as ethics and other branches of social and political philosophy, all of which are about what ought to be.

- a. Policy-Relevant Knowledge
- b. Knowledge Transformations
- c. Policy-Analytic Methods

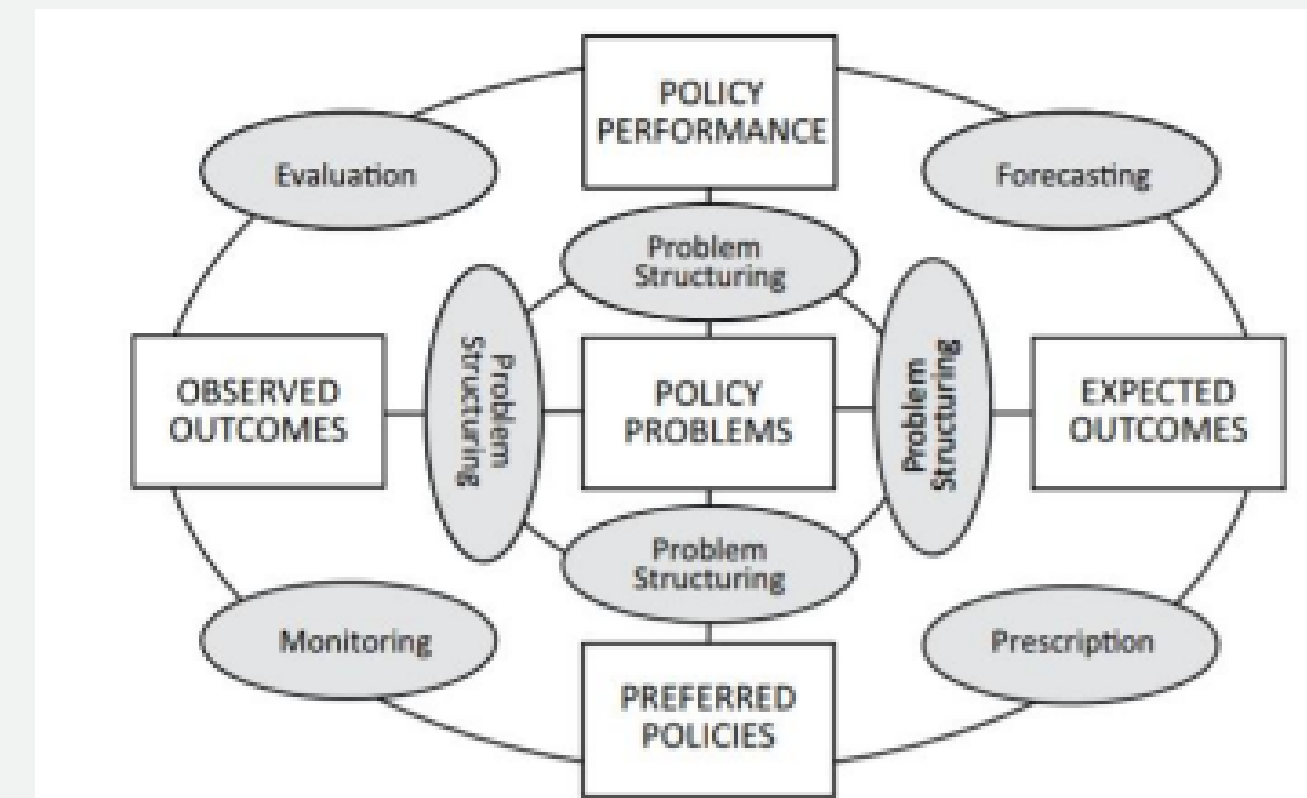


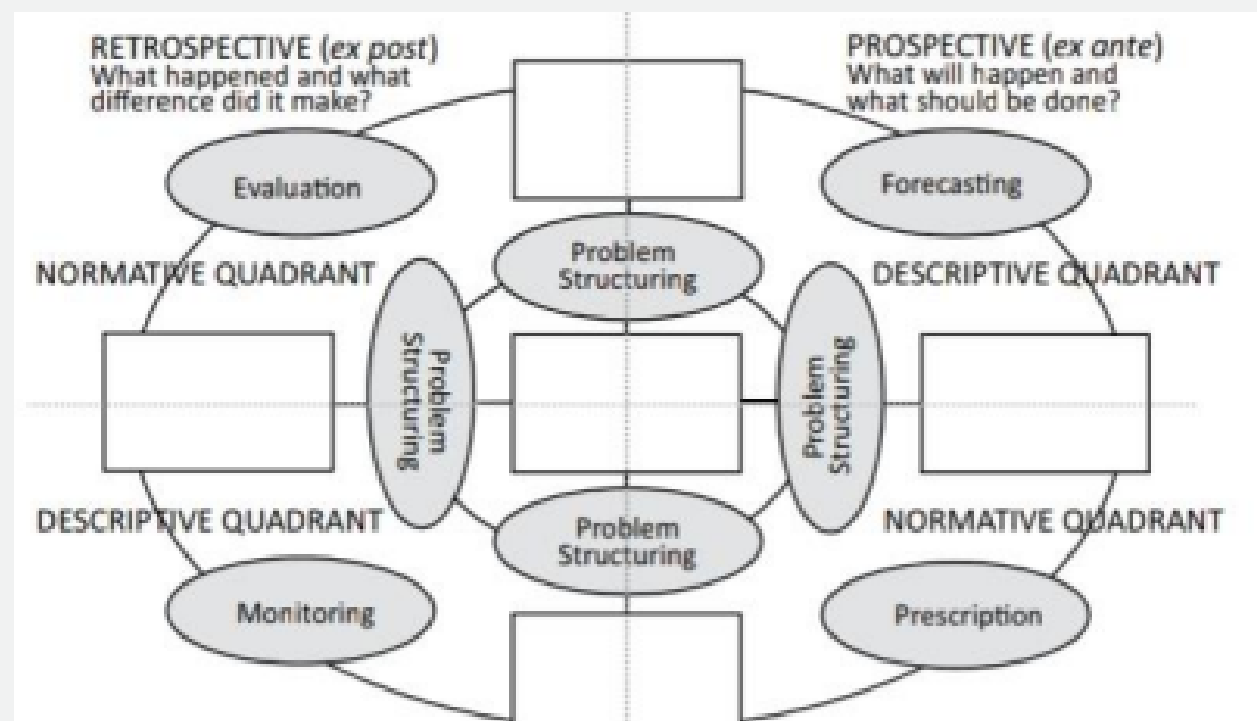
FIGURE 1.1 Multidisciplinary Policy Analysis

CHAPTER 1 – THE PROCESS OF POLICY ANALYSIS

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- FORMS OF POLICY ANALYSIS

- a. Prospective and Retrospective Analysis



- b. Descriptive and Normative Analysis

- c. Problem Structuring and Problem Solving

- d. Integrated and Segmented Analysis



THE PRACTICE OF POLICY ANALYSIS

- **Reconstructed Logic versus Logic-in-Use**

The process of integrated policy analysis is a logical reconstruction. The process of actually doing policy analysis never conforms exactly to this reconstruction, because all logical reconstructions are abstractions of behaviors and not literal descriptions of them. This lack of conformity is captured by the term logic-in-use, which refers to the way practicing analysts actually do their work.

- **Methodological Opportunity Costs**

Integrated analysis has opportunity costs. Given limited time and resources, it is difficult to conduct systematic economic, political, and organizational analyses simultaneously. Multiple triangulation, or what Cook calls critical multiplism, responds to some of these inadequacies. Another methodological opportunity cost is attempting to follow, without sufficient time and resources, the doctrines and principles of philosophies of science such as logical positivism, constructivism, or pragmatism. Critical multiplism has an advantage compared to logical positivism, namely that multiplism provides a better approximation of what is true by employing procedures that triangulate from a variety of perspectives on what is worth knowing and what is known about policies. While the disadvantage of multiplism lies in its costs. Triangulation among multiple perspectives, along with the use of multiple methods, measures, and data sources, involves significant opportunity costs (Figure 1.3).

CRITICAL THINKING AND PUBLIC POLICY

Policy analysis is complex, and has many challenges, where these challenges require critical thinking, which involves the organization, synthesis, and evaluation of different reasons and bodies of evidence offered to support contending claims. One method available is the analysis of policy arguments. By analyzing policy arguments, we can identify and probe the assumptions underlying competing policy claims, recognize and evaluate objections to these claims, and synthesize knowledge from different sources.

The Structure of Policy Arguments

Policy arguments are the main vehicle for carrying debates about public policies, which has seven elements, namely policy claim (the conclusion of a policy argument), policy-relevant knowledge (provides the grounds for a policy claim), warrant (a reason to support a claim), qualifier (expresses the degree to which a claim is approximately true), backing (an additional reason to support or “back up” the warrant), objection (an objection opposes or challenges the knowledge, warrant, backing, or qualifier), and rebuttal (an objection to an objection).

CHAPTER 2 – POLICY ANALYSIS IN THE POLICYMAKING PROCESS



THE HISTORICAL CONTEXT

In a broad sense, policy analysis is as old as civilization itself. Etymologically, the term policy analysis comes from the Greek (polic: city-state), Sanskrit (pur: city), and Latin (politia: state) Languages. The latter referred to the conduct of public affairs or the administration of the state.



EARLY ORIGINS

In the history of human society, policy analysis has evolved along with changes in social and political organization. In ancient Mesopotamia, as seen in the Code of Hammurabi, the first attempts to develop policy-related knowledge began. In India, Kautilya's Arthashastra of the fourth century BC was one of the earliest systematic guides to policy making. In medieval Europe, expert officials or "professional politicians" emerged as special advisors to the ruler. In the Era of the Industrial Revolution, the Enlightenment strengthened belief in science and technology as a means to understand and solve social problems, leading to the development of more empirical and scientific knowledge related to policy. This history shows how policy analysis has evolved along with changes in human society.

CHAPTER 2 – POLICY ANALYSIS IN THE POLICYMAKING PROCESS

- **The Nineteenth-Century Transformation**

In 19th century Europe, creators of policy-relevant knowledge began to use empirical data systematically. Previously, thinkers and statesmen had provided views on policy making, but the use of empirical methods became important. This is reflected in the growth of empirical, quantitative and policy-oriented research. At that time, the first censuses were conducted in the United States and England, statistics and demographics began to develop. The Statistical Societies in Manchester and London, as well as similar societies throughout Europe, were instrumental in changing the approach to social problems using empirical analysis. They use questionnaires and paid agents to conduct research.

In France, Germany, and the Netherlands, Adolphe Quetelet became a major contributor to the methodology of social statistics and survey research. In England, Henry Mayhew and Charles Booth studied the living conditions of the urban poor using an empirical approach. Booth even lived among poor communities to gain first-hand experience. These changes occurred because of the uncertainty in the transition from an agrarian to an industrial society, which required political stability to operate efficiently. Science and technology not only contribute to social problems, but are also used to strengthen political and administrative control. In the fields of production and public policy, policyoriented empirical research is used to answer practical questions about income, taxes, health, education, child care, sanitation, and urban infrastructure. This method helps provide solutions to these problems.

CHAPTER 2 – POLICY ANALYSIS IN THE POLICYMAKING PROCESS

- **Twentieth-Century Professionalization**

An important feature of the twentieth century, as compared with the nineteenth, is the professionalization of the social and behavioral sciences. They were graduates with first and advanced degrees in policy-relevant disciplines and professions (no longer the heterogeneous group of bankers, industrialists, journalists, and university professors who coalesced around the early statistical societies).

- **The Era of Evidence-Based Policy**

1. There was widespread acknowledgement among analysts and policymakers that interdependencies among problems in related policy fields—energy, environment, public health, social welfare, national security, criminal justice, and economic development—appear to be increasing at an increasing rate, much as a river accumulates force and significance as it traverses falling cascades.
2. The 2010 National Academy of Medicine report characterizes the world as a complex system composed of a large number of influences that, for the most part, are interacting simultaneously
3. Evidence-based policy is a response to complexity, but at a meso- or microlevel of analysis.
4. In the words of a British House of Commons report called *Scientific Advice, Risk and Evidence Based Policy Making* (2006), evidence-based policymaking “has its roots in Government’s commitment to ‘what works’ over ideologically driven policy. . . . This Government expects . . . new ideas, more willingness to question inherited ways of doing things, better use of evidence and research in policymaking.

THE POLICYMAKING PROCESS

- The policy sciences movement was founded by the preeminent political scientist, Harold D. Lasswell, who offered a new vision of the relation between the social sciences and policymaking.
- For the policy sciences, analysis was seen as an intellectual activity embedded in a social context. For Lasswell and Myers S. McDougall, his decades-long collaborator in the development of the policy sciences, this process was divided into three components.
- The seven sequentially ordered decisional functions (Intelligence, Promotion, Prescription, Invocation, Application, Termination, Appraisal)
- Lasswell's sequenced decisions are called functions, not stages or phases, a difference of pivotal theoretical significance, because Lasswell followed John Dewey in viewing a function as a purposeful (or teleological) act, not simply a set of temporally ordered activities.
- The legacy of Lasswell, McDougall, and the policy sciences is what we know now as the policymaking process, or policy process for short. Today, as in Lasswell's time, it is useful to visualize this process as a series of interdependent functions arrayed through time. The process begins with agenda setting, policy formulation, and policy adoption and proceeds through policy implementation, policy assessment, and policy adaptation.

THE POLICYMAKING PROCESS

- The policy process is composed of complex cycles.

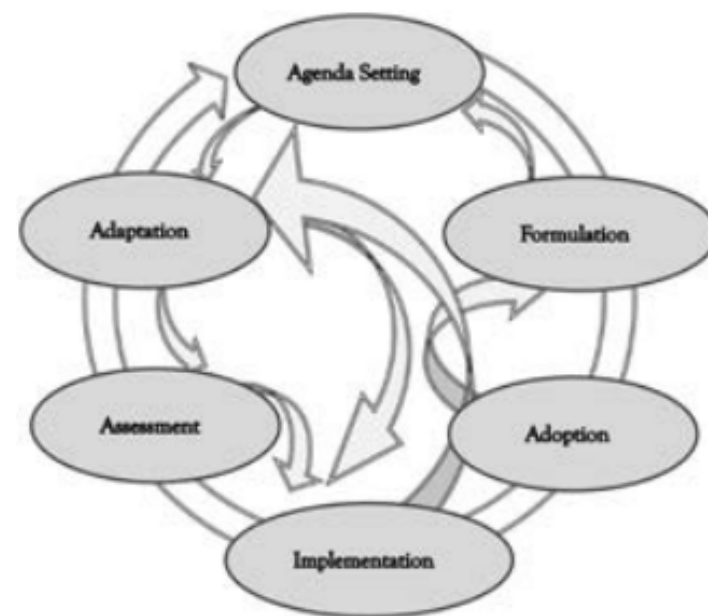


FIGURE 2.1
Complexity, Feedback, and Short Circuiting in the Policymaking Process

- In some cases, a policy is adopted first, and then justified by working backward to agenda setting, where a problem is formulated or reformulated to fit or justify the policy. Parallel cycles occur, where different groups develop policies at the same time, and there may be forward (“arborescent”) as well as backward (“assembly”) branching from one phase to multiple successor or predecessor phases

MODELS OF POLICY CHANGE

- The Comprehensive Rationality Model

The comprehensive rationality model structures the way we think about and explain the process of decision-making. This model explains policymaking as an exhaustive striving for economic efficiency. A rational economic actor, or homo economicus, weighs the costs and benefits of available alternatives and makes a decision that is motivated by a concern with the efficient use of resources.

- Second-Best Rationality

The theorem states that it is impossible for decision-makers in a democratic society to meet the requirements of comprehensive economic rationality.⁵⁶ It is impossible to make a single best choice by aggregating individual rational choices by means of majority voting.

- Disjointed Incrementalism

The fundamental proposition of disjointed-incremental theory is that decisions are made at the margin of the status quo, so that behavior at time $t + 1$ is marginally different from behavior at time t .

- Bounded Rationality

Bounded rationality asserts that individual decision-makers do not attempt to be rational in the full, or comprehensive, sense of considering and weighing all alternatives.⁵⁹ Although choices are rational, they are bounded by the practical circumstances and constraints of complex decisions.

MODELS OF POLICY CHANGE

- Erotic Rationality

In simplest terms, erotetic rationality refers to a process of questioning and answering, is closely related to problem structuring as the central guidance system of policy analysis.

- Simultaneous Convergence

The fundamental proposition of the critical convergence model is that policy change occurs at these critical moments. The recognition of these moments is part of the challenge facing the analyst.

- Punctuated Equilibrium

The punctuated equilibrium model likens the process of policy change to biological evolution. Most policies are relatively stable, changing incrementally over long periods.



POLICY ANALYSIS IN THE POLICYMAKING PROCESS

- **Potential Uses of Analysis (Problem Structuring, Forecasting, Prescription, Monitoring, Evaluation)**
- **Uses of Analysis in Practice**
 1. The use of analysis is typically indirect, delayed, and general.
 2. The meaning of improvement is ethically controversial. When the results of analysis are used, the meaning of what constitutes an improvement depends on the political, ideological, and ethical perspectives of observers.
 3. Being useful reflects personal, professional, and institutional interests. As professionals and as persons, analysts seek to enhance their status, rewards, and wellbeing, not only those of their agencies and communities.
 4. Composition of users. Individuals as well as collectives
 5. The scope of knowledge used by policymakers ranges from the specific to the general.
 6. Expected effects of use. The use of analysis has conceptual, symbolic, and instrumental effects.
 7. The punctuated equilibrium model likens the process of policy change to biological evolution. Most policies are relatively stable, changing incrementally over long periods.

THANK YOU

any question?

