

Introduction to Public Policy

Week 8

Policy Design & Formulation

Theodolou & Kofinis, pp. 131-144.

Midterm Exam II: December 20, 2016

- December 20, 2016
 - NO CLASS DURING THAT WEEK
- The first midterm results will be announced this week.
- Out of 25 points
- You are responsible from what we have covered after the first midterm.
 - Beginning from problem identification, ending with Policy Design & Formulation

Policy Design & Formulation: What is it?

- Policies come from somewhere: They need to be created or designed
- Finding the most appropriate course of action to solve a problem
 - Choosing between alternative courses of action
 - Select and adopt the best solution to the problem
- A policy should be politically adoptable

Example: How to Run Universities?

Rectors vs. Board of Directors

«Yükseköğretimin Yönetiminde Mütevelli Heyetleri», Türker Kurt,

http://file.setav.org/Files/Pdf/20151112185042_137_web.pdf, Dec. 1, 2015.



TABLO 1. BAZI ÜLKELERDE MÜTEVELLİ HEYETLERİNİN ÖZELLİKLERİ*

Ülke	Mütevelli Heyetinin Üye Sayısı	Mütevelli Heyetine Üyelik ve Kurulun Büyüklüğü	Mütevelli Heyetinin Rolü	Akademik Kurul/Senatonun Rolü
Avustralya	10-24 üye (ortalama 22 üye)	Üyelerin çoğunluğu akademik olmayan kişilerdendir.	Üniversite yönetimi için fonlayıcı yapıdır.	Akademik üst kurul vardır. Mütevelli heyetine karşı sorumludur.
Kanada	Ortalama 27 üye	Ortama 27 üyesi vardır. Üyelerin yüzde 25'i bölge tarafından atanır, yüzde 25'i seçilir, yüzde 25'i heyet tarafından atanır, yüzde 25'i re'sen bulunur. Yansı meslekten olmayan (lay) üyelerden oluşur.	Kurumun yönetiminin nihai sorumlusudur. Rektörün göreve getirilmesi veya görevden alınması ve finansman tahsisinden sorumludur.	Senato akademik yönelemeden sorumludur (fakat heyete karşı sorumludur).
Danimarka	Ortalama 14 üye	Heyet üyelerinin büyük bir kısmı dış üyelerden oluşur ve üyeler öğrencilerin yanı sıra teknik ve idari personeli temsil eder.	Heyet kurumun bir eğitim ve araştırma kurumu olarak çıkarlarının gözetimini yapar ve uzun dönem liderlik sağlar.	Akademik konsey, öğretim elemanlarının çıkarlarını gözetir; eğer kurumsal düzeyde sadece bir konsey varsa, heyet rektörü başkan olarak yerleştirir.
Fransa	30-60 üye	Genellikle üyelerin çoğunluğu üniversite öğretim üyelerinden oluşur (yüzde 40-45). Heyette üniversite mensubu olmayan üyeler (yüzde 20-30), öğrenciler (yüzde 20-25) ve idari personel temsilcileri (yüzde 10-15) de yer alır.	Mütevelli heyeti, dört yıllık planı kabul eder ve devletle sözleşme yapar. Fakat bakanlık hala birçok noktada kontrolü elinde tutuyor (örneğin personel).	Bilimsel kurul, eğitim ve araştırma konularında mütevelli heyetinin politika değişiklikleri önerileri yapar.
Almanya	30-130 üye	Üyelerin çoğunluğu üniversite mensuplarından oluşmakla birlikte, üniversite dışından kişiler de heyette yer alır. Ayrıca öğrenci temsilcileri de bu heyetlerde yer alır.	Kaynak tahsisi senato tarafından gerçekleştirilir. Birçok yetki halen eyaletin elindedir.	Merkezi bir akademik yapı yoktur, bu nedenle öğretim üyeleri veya bölüm kurulları tüm eğitim ve araştırma konularına ilişkin karar verirler. Senatonun yetkileri azalmıştır ve sadece öneri niteliğindedir.
Endonezya	21 üye	Bakanlıklar, akademik senato, akademik topluluk ve daha geniş toplumu kapsayan bir dizi yapının temsilcileri bulunur. 9 üye üniversite dışından 12 üye üniversite içinden yer alır.	Mütevelli Heyeti üniversite yönetiminde merkezi bir rol oynar.	
Japonya	8 üye	Çoğunluğu dış üyelerden oluşur.	Mütevelli heyeti, çok önemli konuları, rektör karar vermeden önce gözden geçirir (Her üniversite kurulun yetkilerine karar verebilir).	Konseyler, akademik programlara, araştırmalara personel atamalarına ve rektöre tavsiyelerde bulunma rollerini gerçekleştirir.
Hollanda	En fazla 40 üye	Mütevelli heyetinin beş dış üyesi yönetici kurulun önerisiyle bakan tarafından atanır.	Mütevelli Heyeti (Board of Trustees) stratejik planları ve bütçeyi onaylar.	Danışma kuruludur. Stratejik plan ve önerilen düzenlemelere ilişkin yorumlar yapar.

Policy Design & Formulation

- Policy formulation & formal adoption of policies is a complex process
 - Constant battle does not end even when the policy is formulated & adopted
- The nature of the problem affects how solutions are formulated & which formulation is finally adopted
- The best policy is feasible policy, with a consensus behind it
 - Formulation needs support
 - A majority coalition

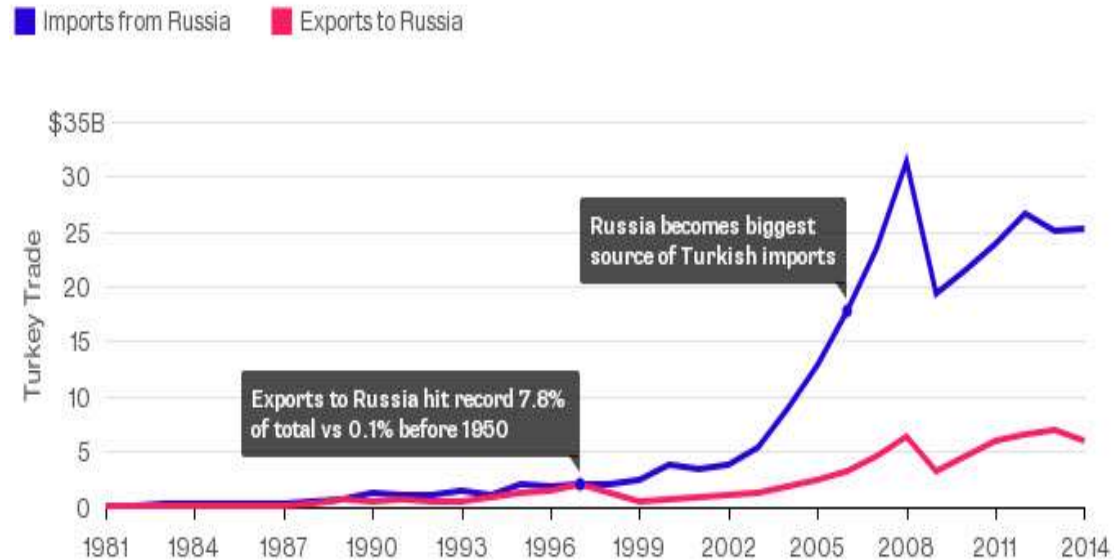
How are Policies Formulated?

Example: Turkish Foreign Policy Against Russia?

<http://www.zerohedge.com/news/2015-11-28/russia-retaliates-putin-reveals-sanctions-against-turkey>, Dec. 1, 2015.

Trade Ties

Russia is Turkey's second-biggest trading partner and the largest source of imports



Source: International Monetary Fund
Note: Soviet Union data used prior to 1992.

Policy Design & Formulation: What is it?

- Policy formulation is a political exercise
- The best policy is sacrificed for adoptable policy
 - Policies should be acceptable for both adopters & target populations
- Policy formulation is heavily affected by policy makers' need to win support for their proposed policies

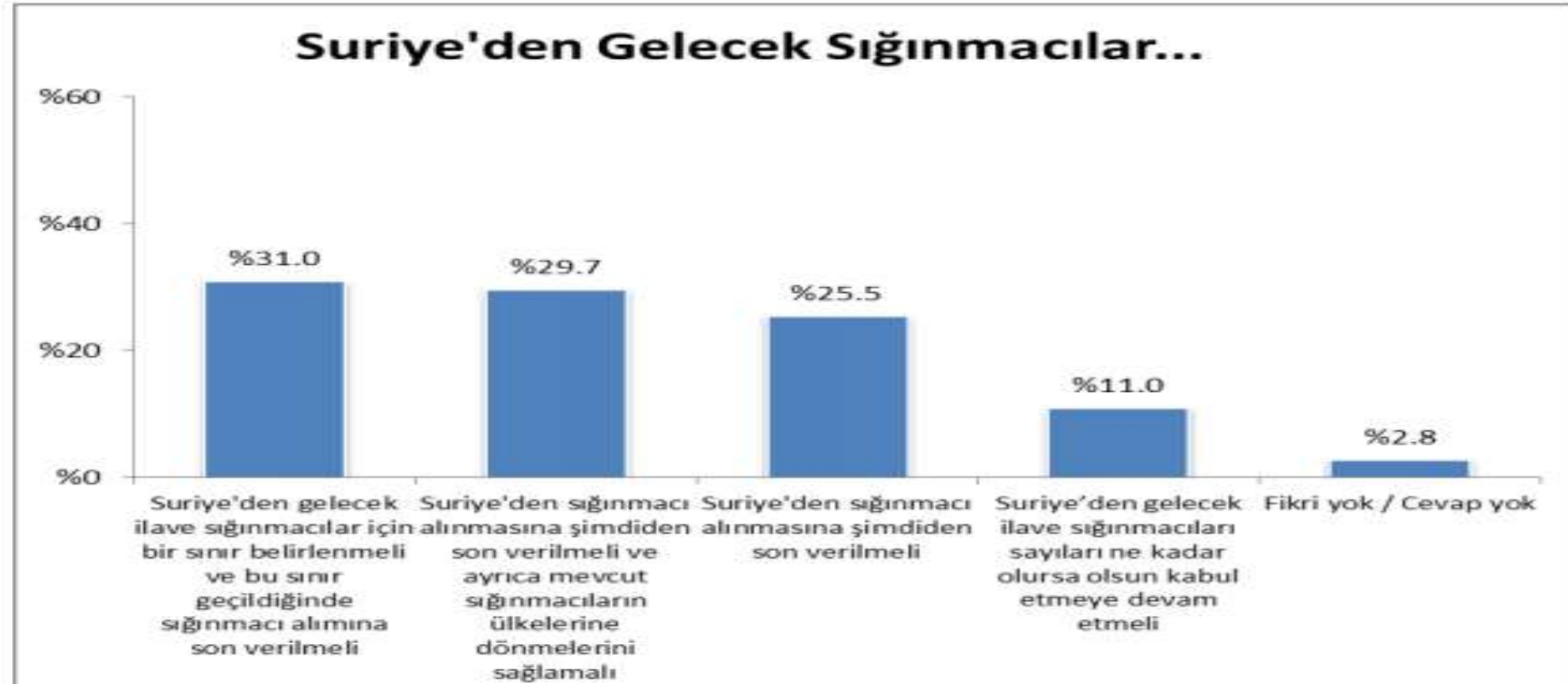
Example of Syrian Refugees

<http://edam.org.tr/media/icerikfiles/12/edamanket2014.1.pdf>, Dec. 1, 2015.

TÜRKİYE'DE DIŞ POLİTİKA VE
KAMUOYU ANKETLERİ 2014/1



TÜRK KAMUOYUNUN SURİYELİ SİĞİNMACILARA YÖNELİK BAKIŞ AÇISI



What is Policy Formulation?

- Once an issue is on systematic or institutional agenda, solutions should be considered.
 - Sometimes formulation can occur before agenda-setting
- In theory:
 - Formulation begins before legislation is enacted
 - Ends when policy is implemented
- In reality
 - Formulation becomes «reformulation» during implementation & evaluation

Nature of formulation

- Includes bargaining & compromise among policy actors
 - To maximize political support
- Competing realities
 - Example: Turkish Law 6284 (2012) about domestic violence or protecting the family unit?
- Multiple actors with different formulations for the same problem
 - Example: Childhood Obesity- MEB-closing cafeterias; TTB-more exercise
- Formulation can occur for a long time & it doesn't necessarily result in adoption

Solutions or Instruments in Policy Formulation

- Mechanisms by which governments wants to change the behaviors of specific target populations
 - Examples (the full list is at pages 134-135)
 - Inducements
 - Rewards or penalties, such as, Law on Smoking in Public
 - Rights & Duties to Specific Persons or Groups
 - Disabled Quotas in Public Agencies' Hiring Process
 - Contracts
 - Contracting out agreements to run hospitals (PPPs)

How to Choose a Policy Solution/Instrument?

- Factors that policy makers must take into account when choosing a policy solution/instrument:
 1. Political feasibility: Political support
 2. Administrative feasibility
 - Successful implementation & management of the program
 3. Resources necessary for implementation
 4. Reaction of the target population
 - Do they change their behavior?

Actors Involved with Policy Formulation

- In the policy formulation process
 - There are large number of actors involved
 - Institutional & non-institutional actors
 - Few rules and maps guiding the process
- Different sets of actors in each issue
 - The President
 - Parliament
 - Bureaucracy
 - Interest Groups
 - Think tanks & policy entrepreneurs
 - Others...

How Policy is Designed: Social Construction Model

- Social construction: How society perceives/sees a group; group image
- How groups are targeted by a certain policy is socially constructed.
 - Social construction of target populations (Schneider & Ingram)
- Connections of stereotypes & policy-making
 - Perceptions of deservedness: Which group deserves what & why?

How Policy is Designed: Social Construction Model

- Benefits & burdens distributed to the groups depend on their perception
 - Positively constructed groups receive benefits
 - Negatively constructed groups receive burdens
- Social Construction & Elections
 - Distributing most benefits to the groups with most positive image & most political power
 - Giving benefits & burdens to the wrong groups may bring electoral failure

How Policy is Designed: Constructions of Policy

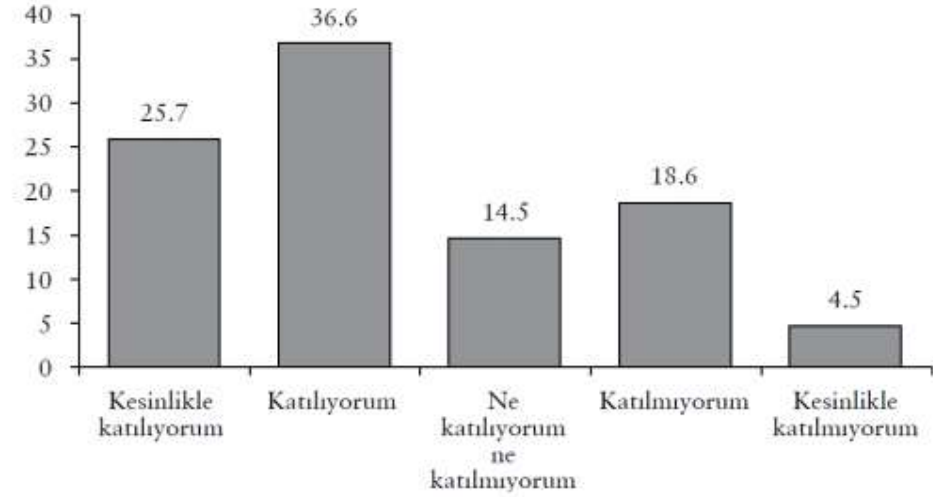
Power	Constructions	
	Positive	Negative
Strong	Advantaged The Elderly Business Veterans Scientists	Contenders The Wealthy Unions Minorities Cultural Elites The Moral Majority
Weak	Dependents Children Mothers	Deviants (punitive policies) Criminals Drug Addicts Communists Gang Members

Syrian Refugees Problem

<http://www.hugo.hacettepe.edu.tr/HUGO-RAPOR-TurkiyedekiSuriveliler.pdf>, Dec. 1, 2015.

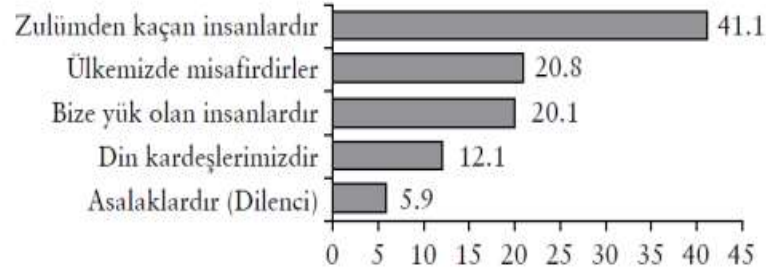


Suriyeli sığınmacılar buldukları yerlerde şiddet, hırsızlık, kaçakçılık ve fuhuş gibi suçlara bulaşarak toplumsal ahlak ve huzuru bozmaktadır.



Suriyeli sığınmacılar buldukları yerlerde şiddet, hırsızlık, kaçakçılık ve fuhuş gibi suçlara bulaşarak toplumsal ahlak ve huzuru bozmaktadır.

"Türkiye'deki Suriyelilere ilişkin kanaatinizi en iyi aşağıdakilerden hangisi ifade eder?"



	Bölge	
	Bölge İçi (Adana, Gaziantep, Hatay, Mardin, Şanlıurfa)	Bölge Dışı (Diğer iller)
Kesinlikle Katılıyorum	41,8	22,7
Katılıyorum	28,0	38,2
Ne katılıyorum ne katılmıyorum	14,2	14,6
Katılmıyorum	10,5	20,1
Kesinlikle katılmıyorum	5,4	4,4
Toplam	100,0	100,0

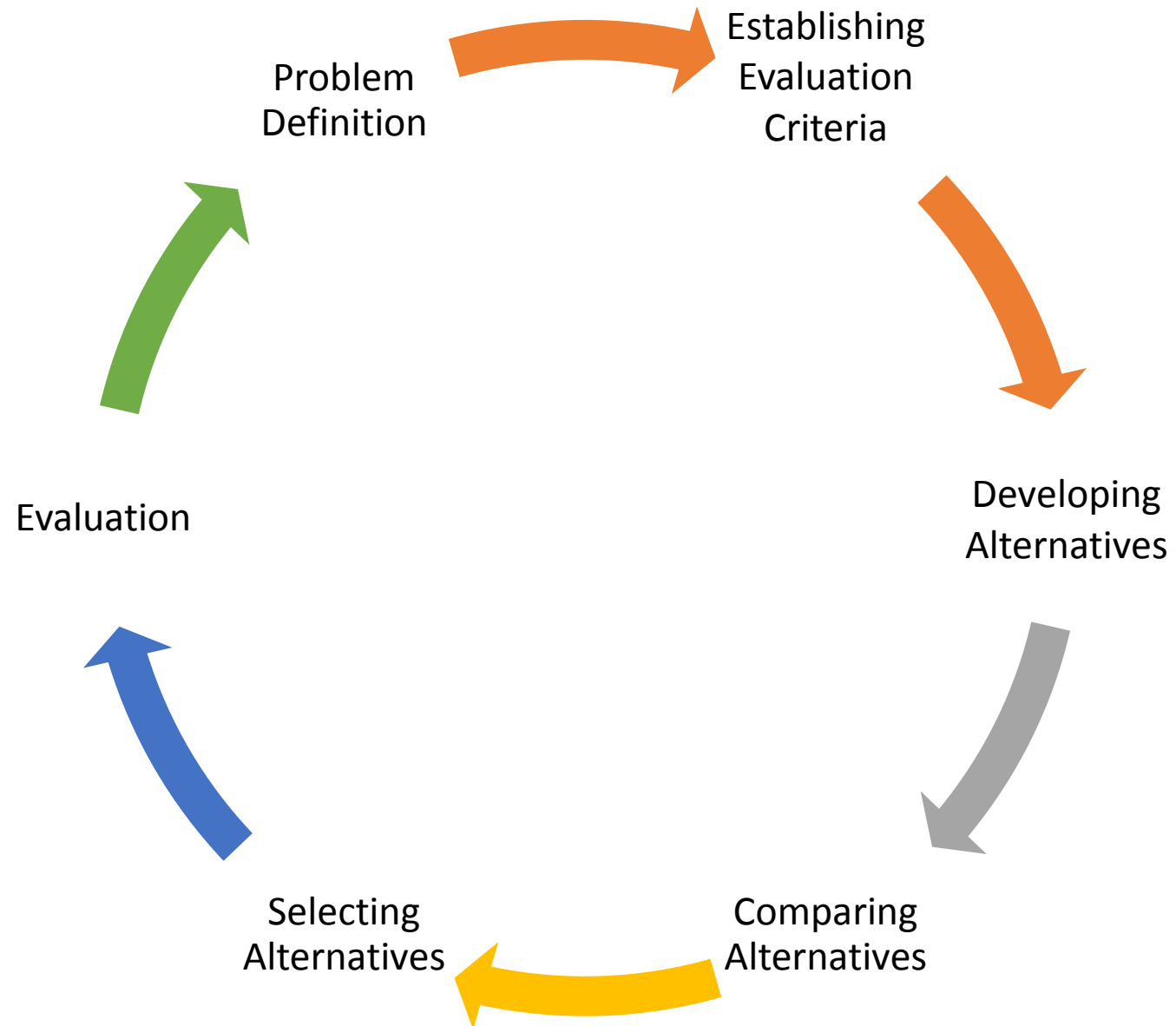
Policy Analysis

- Use of reason & evidence to find the best solution to public problems
- Policy analysis is not an exact science
 - It can not always guarantee a complete solutions to the problems
- Policy analysts are found in
 - Legislatures/Parliaments, Think Tanks, Consulting Firms, NGOs & Universities
- Question to ask before analysis: Who is the client of this analysis?

Policy Formulation: Policy Analysis Steps

- A sequence of steps that must be carried out for effective analysis
 - Each step is clearly linked to the next
- A cyclical process that can be repeated if needed

Policy Formulation: Policy Analysis Steps



Policy Analysis Steps: Problem Definition

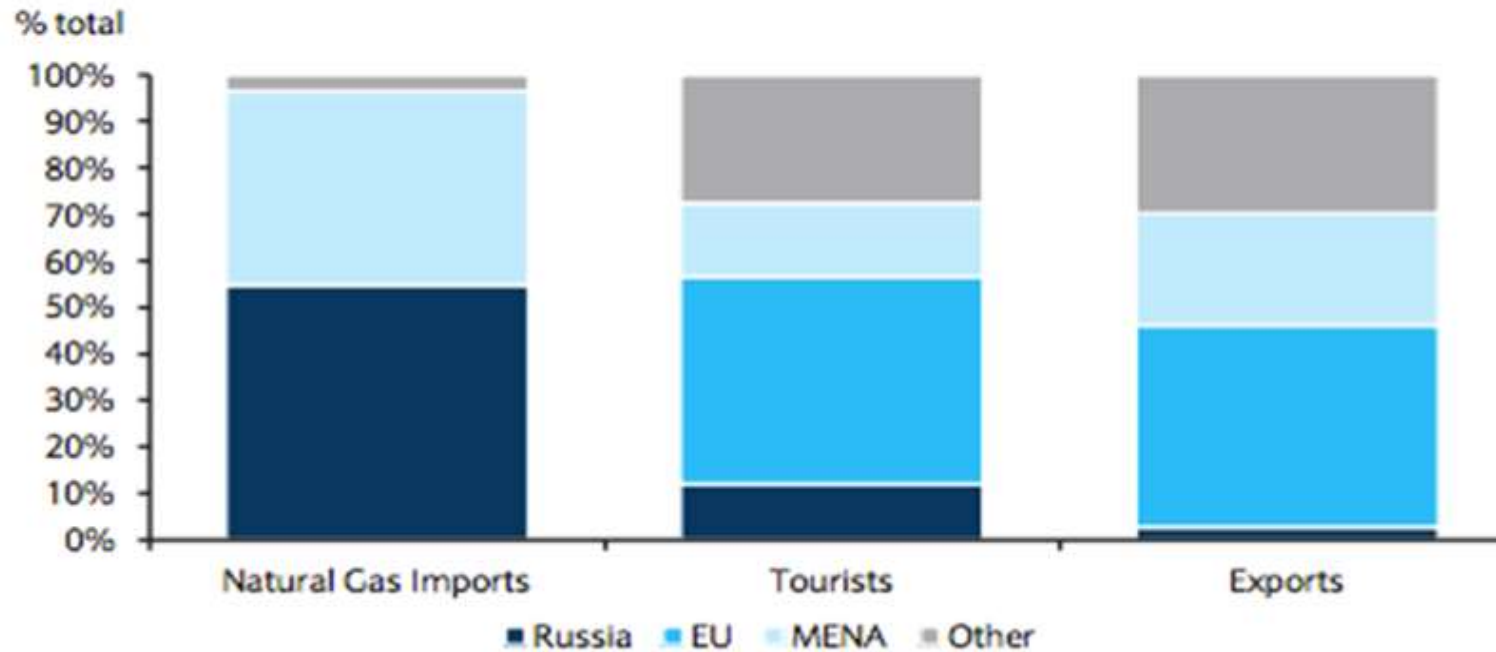
- Incorrect or poor problem definition brings unsuitable solutions
- Frame the problem in concrete terms & with all its dimensions
 - Example: Problem with Russia with its military, economic and political dimensions
- The analyst need to understand how others see the problem
 - All relevant and affected actors/parties need to be identified
 - From most affected to the least affected
 - All influencing factors must be taken into account

Dimensions of the problem with Russia

<http://www.zerohedge.com/news/2015-11-28/russia-retaliates-putin-reveals-sanctions-against-turkey>, Dec. 1, 2015.

FIGURE 1

Turkey's dependence on natural gas imports and tourism from Russia heightens the risk of further escalation



Source: Turkstats, Barclays Research

Policy Analysis Steps: Establishing Evaluation Criteria

- Criteria are necessary to evaluate and compare solution alternatives
- Common criteria that are applicable to almost all issues
 - Example: Cost, sustainability, feasibility (economic, political, administratively), legality...
- More particular criteria applicable to only some issues
 - Example: Ethicality

Policy Analysis Steps: Developing Alternatives

- The ideal is to identify & develop all possible options
 - Most of the time, this is not feasible
- The goal is to develop enough alternatives to have a real choice
- Begins with «Doing nothing» or «Let the trends continue»
- Common error in alternative development
 - They do not address the problem directly

Policy Analysis Steps: Developing Alternatives

- How to find/generate alternatives?
- Research
 - Solutions to similar problems?
 - Policy transfer
- Surveys of experts
- Experiments
- Brainstorming

Example: Homeschooling in the US

<https://www.hslda.org/laws/>, Dec. 2, 2015

Navigation Menu: Search, Navigation Menu, Facebook, Twitter, YouTube

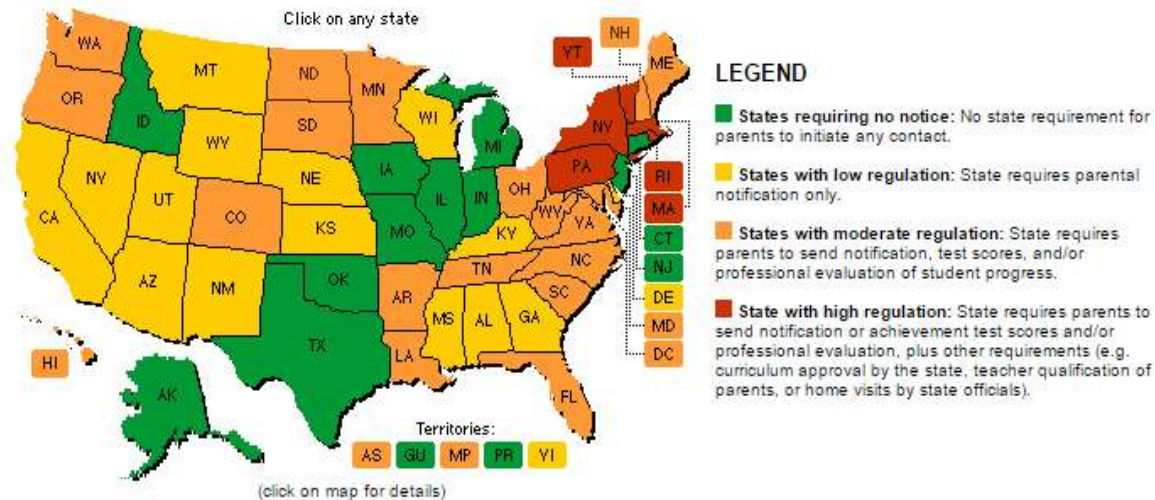
Member Login:

JOIN | RENEW | DONATE | SHOP | HOME | ABOUT | CONTACT

HSLDA
advocates for homeschooling since 1983



State Laws



Navigation Menu

Members' Home Page

ADVERTISEMENT

Safe Book Homeschool

Policy Analysis Steps: Comparing & Selecting Alternatives

- Alternatives are evaluated and compared against selected criteria
- Ranking of criteria in order of importance
- Which is a better solution to our problem?
 - A ranking of alternative solutions
- Need to foresee externalities

Policy Analysis Steps: Evaluation

- Inclusion of feedback
- Is the policy doing what we want it to do?
- Success or Failure of the solution
 - Total or partial?

Models of Policy Formulation (B. Guy Peters)

- In order to formulate policy, policy makers must
 - Have detailed & factual information about the problem
 - Understand the causes of the problem

Factual Information about Domestic Abuse

<http://kadincinayetleri.org/>, Dec. 1, 2015.



Factual Information & Causation about Traffic Accidents

<http://www.slideshare.net/EMBARQNetwork/transist-trafik-guvenligi>, Dec. 1, 2015.

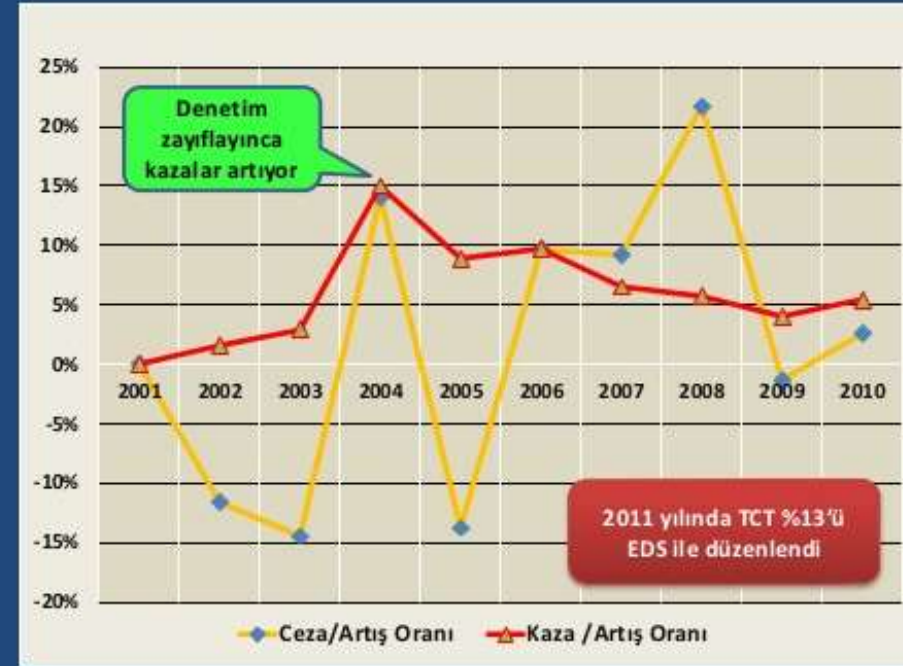


Son 10 yıldaki ölümlü/yaralanmalı trafik kazası istatistikleri

YILLAR	Ölümlü/ Yaralanmalı Kaza sayısı	Ölen / yaralanan sayısı	Nüfusun etkilenme oranı
2004	77.008	140.864	0,75%
2005	87.273	158.591	0,86%
2006	96.128	173.713	1,00%
2007	106.994	194.064	1,17%
2008	104.212	188.704	1,33%
2009	111.121	205.704	1,45%
2010	116.804	215.541	1,50%
2011	131.845	241.909	1,64%
2012	153.549	271.829	1,71%
2013	161.306	278.514	1,75%
Son 5 yıldaki artış	%45	%35	%36
Son 10 yıldaki artış	%110	%98	%163

Trafik istatistikleri TÜİK ve EGM (2014)

Denetim artınca kazalar azalıyor!



Geçen 10 yılda

Araç sayısı **%91**, sürücü sayısı **%59** arttı

Trafik kaza sayısı **%185** arttı

Trafik Polisi sayısı **%18** trafik birimi **%56** arttı

Radar sayısı son iki yılda **%30** azaldı

Uygulanan ceza sayısı sadece **%78** arttı

Fiziki denetim yetersiz kalıyor.

Kaynak sorunu var.

Models of Policy Formulation (B. Guy Peters)

	High Knowledge of Causation	Low Knowledge of Causation
High Information	ROUTINE	CONDITIONAL
Low Information	CRAFTSMEN	CREATIVE

1. Routine Policy Formulation

- Requires
 - High levels of knowledge about causation
 - High levels of factual information
- Simplest type of formulation
 - Incremental changes on policy issues that are on the legislative agenda
 - Routine adjustment of existing policies
 - Example: Anti-Smoking Policy/Legislation
- Routine policies can change if the underlying theories of causation change
 - Example: Defense Spending during the Cold War

2. Creative Policy Formulation

- Requires
 - Low levels of factual information
 - Low levels of knowledge about causation
- Any formulation proposal is doubtful in their effects
 - Policy makers need to be creative but cautious/careful
 - Formulators are influenced by bureaucratic experts
 - They need to match the needs of the individual and the implementing agency
 - This often means a reversible policy if it is unworkable or needs correction
 - Example: Personal counseling

3. Conditional Policy Formulation

- Requires
 - High levels of factual information
 - Low levels of knowledge about causation
- Any formulation proposal is based on the likely effects of policy
 - Example: Fatih Project
- Policy makers need to formulate modifiable policy upon implementation, and as conditions change
 - Example: Fiscal Policy

4. Craftsman (Zanaatkar) Policy Formulation

- Requires
 - High levels of knowledge about causation-Clear understanding
 - Low levels of factual information-Lack of supportive information
- Any formulation relies heavily on the probability of outcome
- Mostly poor formulation and errors are inevitable
 - Example: Use of military force