

SUPPORTING REFORMS IN PUBLIC ADMINISTRATION

**HOW TO BE A BETTER
POLICY ADVISOR?**

MANUAL

Mirosław Grochowski
Michał Ben-Gera

Published by NISPAcee



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HOW TO BE A BETTER POLICY ADVISOR?

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The authors would like to thank the trainers involved in the project and the managers of the project from NISPAcee for their thoughtful remarks and suggestions for improving the text.

Published by NISPAcee

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Printed in Slovakia

ISBN 80-89013-06-6
EAN 9788089013067

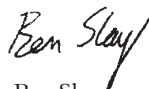
This publication was developed within the project "Building advisory capacities in Slovakia and other ECIS states" implemented by NISPAcee with the financial support of UNDP/RBEC, RSC Bratislava, the regional programme "Good Governance" and the programme "Good Governance" in the Slovak Republic.

PREFACE

This manual represents the first concrete result of the ongoing cooperation between UNDP's Regional Support Centre in Bratislava and NISPAcee. UNDP sees cooperation with emerging professional associations in Central and Eastern Europe and CIS countries as a key element of its programme activities. In a region where there are few significant intergovernmental organizations, regional professional and academic associations are of great importance as vehicles for sharing information and experience between states. We see NISPAcee both as a pioneer in developing regional professional networks and as an organisation that will ensure the continuity of public administration reform efforts at a time when international donors are increasingly leaving the more advanced parts of the Europe and CIS region.

The importance of the "Building Advisory Capacities" project, which began in January 2001, lies in its emphasis on unlocking one of the region's key resources-its highly qualified academic community - by helping this community to more effectively assist and influence governments. The provision of advice by foreign consultants, which was of great importance in the earlier part of the transition, will naturally become less important as governments need more country-specific advice in the more advanced stages of the institutional reform process. This type of advice is usually best provided by local consultants and experts, who have better knowledge of local conditions. The region's public administration schools and institutes have trained large numbers of experts in institutional reform during the last decades. But as the survey material referred to in this volume shows, the advisory capacity of these local experts does not appear to have been fully used. The nature of the region's education programmes may partly explain this, as higher education programmes traditionally pay relatively little attention to the development of the practical skills required to successfully provide policy advice. The main purpose of the project has therefore been to create a tool to develop advisory skills for young academics who have the knowledge base to provide relevant advice to government, but lack the skills to formulate this advice in a way that makes it usable for decision-makers.

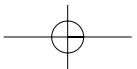
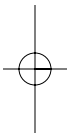
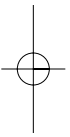
The manual was developed by a group of experts, in part from the region and in part from OECD states, and tested during two pilot training sessions in Spring and Autumn 2001. The manual provides an excellent basis for academic and training institutions in the region to start developing their own courses and integrate the creation of advisory skills in their curricula. We trust that NISPAcee, through its network, will ensure that this manual will be put to good use and that it will help the region's academic communities to provide high quality policy advice to governments.



Ben Slay
Director

UNDP Regional Support Centre

Bratislava, March 2002



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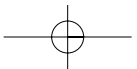
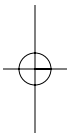
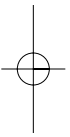
Introduction

Advising As a Tool to Facilitate Reforms

Addressee of the Manual

Advisor or Consultant?

Advising As a Way of Professional Development



I. INTRODUCTION

Advice from good advisors is important in facilitating reforms in the public administration sector in the countries of Central and Eastern Europe and Central Asia. In this introduction we explain the role and significance of advising and the reasons why academics are involved in advising in a rather incidental manner. We also explain who this manual is for and what the reader will find in it. Since this is a manual addressed to a very specific audience, we also discuss how their involvement in advising may contribute to the professional development of academics.

I.1. ADVISING AS A TOOL TO FACILITATE REFORMS

The nature of public administration reforms under way in countries of Central and Eastern Europe and Central Asia is complex and multi-dimensional. The passage from a centralised state, mono-party system and planned economy to a decentralised democratic state and market economy requires fundamental changes in the organisation of the state, its economy and society. These changes enforce the need to reform the public administration sector.

There are numerous difficulties in carrying out reforms in the public administration sector. The most serious of them are **a lack of knowledge and experience – policy and decision-makers do not know how a modern public administration sector should function, and an absence of mechanisms necessary to transfer this experience and knowledge to policy and decision makers.**

It also seems there are not enough specialists able to play a proactive role and provide advice to governments on how to deal with policy-making and implementation of changes. These problems result predominantly from the fact that in the countries of Central and Eastern Europe and Central Asia there is no tradition of searching for innovative solutions in the public administration sector and no tradition of advising.

Communist regimes did not need advice to outline and develop their policies, set priorities, and decide how to implement their policies. Their decisions were based on and guided by ideological principles and were not subject to public control.

The new political and social order calls for advice. **There is no doubt that advice is needed to facilitate reform processes, it helps to reveal and explore the effectiveness of new approaches and solutions and to avoid mistakes and learn how to use experience gained by others.**

Academics have huge intellectual potential and expertise, which can be utilised to provide such advice. However, the involvement of academics in advising is rather incidental and intellectual potential is not used properly.

There are many reasons for this; **governments do not know about the advisory capacity of schools of public administration and their employees and schools and potential advisors do not know the needs of governments because the latter do not have sufficient contact with government representatives. Also, governments and schools do not communicate with each other, governments use advice that comes from international institutions involved in supporting changes in post-communist countries much more often than advice from local advisors and the perception of the possibilities of advice, its demand and image are often distorted by negative experience from mutual contacts in the past.**

Consequently, both government representatives and academics are often disappointed. This situation should be changed.

I.2. ADDRESSEE OF THE MANUAL

This manual was written with an intention to help establish new working relationships between *clients*, defined as governments (and their representatives, including the administration) of countries implementing public administration reforms, and *providers*, who are advisors from academia that can contribute significantly to policy making processes and public administration reforms.

The purpose of this manual is to provide advisors and potential advisors with some guidelines on what to do and how to do it to become better advisors. This manual is addressed to those working in schools of public administration and in universities in disciplines related to public administration (political science, sociology, law, history, etc.). Some potential readers have already been engaged in advising governments. Others, who spend most of their time doing research or lecturing on public administration, may be considering it. We hope that after reading this manual both groups will become more skilled in providing advice, and more interested in advising what is a challenging type of activity that offers new research opportunities and broadens professional horizons.

This manual does not contain information on topics related to the reforms themselves. It does not contain advice on what should be changed and how. The knowledge of the substance of public administration can be found in schools and universities. Besides, the situation in public administration is evolving. New situations, new problems and new challenges have to be continuously addressed by the reformers and their advisors. There is no one model that can be used

everywhere. Neither is there only one good answer to many questions that can be asked in a handy manual. Giving advice and getting better as an advisor is part of the "learning by doing" process, and as such the manual discusses advising only as an activity.

The manual shows how to use knowledge and research results in order to support changes by providing valuable and helpful advice to governments; what measures should be taken to solve the most common problems advisors face; how to facilitate co-operation with government representatives; how to reach out to the client and establish good working relationships with governments and influence the policy making process.

I.3. ADVISOR OR CONSULTANT?

We have been using the term "advisor" to describe a person who provides information and suggests possible solutions and options governments can use to deal with specific problems. If that is what an advisor does, then in what way does his product differ from that of a consultant? Are there any significant differences between consultants and advisors? For the sake of this manual, it is useful to make this distinction in order to clearly delineate the intended audience of this publication.

Both advisors and consultants must possess the same set of basic skills: **expertise in specific fields; specialist knowledge in organising and conducting research activities; knowledge of the tools and instruments needed to collect and analyse data and information; good communication skills in order to**

- a) define the needs of a client - recipient of advice, and*
- b) deliver the product of their work to the client in a proper format.*

Both a consultant and advisor are oriented to making a change by means of their products. However, some differences between consultants and advisors can be distinguished. In this manual we define **a consultant as a person in the consulting business**. He or she works for a consulting firm. Working on an assignment, he/she is looking for opportunities for attracting new firms that will contribute to the growth and development of the consultant's own business organisation. **The relationship between a consultant and a client is strictly one of business**. A consultant may be selected as a service-provider in a bidding procedure and a consultant is first of all a profit-driven contractor.

An advisor may be selected on a different, not necessarily competitive basis. His/her relationship with the client may be based on principles other than business. An advisor may be selected because he/she holds the same

political option (this does not contradict objective judgement and a professional approach to the advisor's tasks). An advisor may have another job and advise without being paid (although he/ she may enter contractual arrangements). **Advisors are not only profit-driven people; they work with a feeling of a mission.** Technically, consultants and advisors perform the same function: they define goals and objectives of their activities and deliver products in a way that meets the client's expectations. **However, in this specific manual an advisor is an academic who utilises his/her knowledge and experience to help governments in their reforms in the area of public administration.**

FROM NOTES BY AN ACADEMIC - ADVISOR

I am in the city of C (CAPITAL) of the country X (it could be almost any country in Central and East-Europe and Central Asia). My mission is to advise the Government of X. To be more specific, I advise a Government Agency in country X. This is quite important because we cannot really speak about a government as a whole. Governments are rather diverse organisations with particular and specific interests which are usually not expressed explicitly. Even within one institution there are various groups of interests. For instance, the Government Agency I am supposed to advise was subordinated to Ministry Y about half a year ago. At that time this Government Agency opposed this institutional arrangement. The Agency wanted to be in the structure of the Cabinet. It was because in the Cabinet it had higher rank and also because the Cabinet is a group of politicians who meet once a week. So, it would not bother the Agency too much. The Government Agency lost the battle and become subordinated to Ministry Y.

Before I started my mission I was told that the Ministry and Agency did not co-operate very closely. In practice, however, the situation turned out to be completely different. The Ministry and the Government Agency virtually did not communicate with each other. When I mentioned to the head of the Government Agency in the morning that a meeting at the Ministry was scheduled for me in the afternoon, he told me about a few things I should "tell them there". Actually, these few things concerned the project I worked on. My assignment was to prepare training for all civil servants (about 100,000, but nobody knew the exact number) and train them for two weeks. The same happened to me in the afternoon - when I met with officials from the Ministry they told me what I was to tell people in the Government Agency.

Both sides perceived the project differently: they wanted different numbers of trainees, different types of trainees, and a different length of training. Both the Ministry and Government Agency were sure that the other side would understand that theirs was the only rational way to design

the training project. Additionally, considering the legal provisions in force in country X, there was no legal alternative except either training all civil servants (option presented by the Government Agency in the morning), or training only state secretaries (option presented by the Ministry in the afternoon). They even showed me the legislation making this clear. And I was not surprised. In fact, I was, but I learned to deal with it because advising means also a proper style of work and attitude to problems you encounter.

The advisor should know how to react to confusing and surprising situations. In these situations attitude is the key to success: keep smiling - the more difficult, the more necessary it is. The good thing about advising is that one can meet new people. For instance, I started to work on this project two months ago. Since then, I have met several new people. Two months ago I was introduced to this person responsible for the project at the Government Agency, but she has disappeared. Instead, one of the deputy directors will work on the project. He has involved his secretary in it, which means the secretary is practically doing the work. She is new. She knows nothing about public administration, the Agency's functions, or the project itself.

Still I prefer to work with her because her boss, the deputy director, seems like a born politician. His answer to the question: "How many people, do you think, should be trained?" had several references to the "government's commitment" to this and that, and especially to European integration. Needless to say, not a word about the number. The Director of the training department in the Ministry is totally different. She was and still is a university professor. When asked the same question she first gives a historical background of the issue. Then she intelligently shows how the issue of civil service training is discussed in international literature with a special emphasis on the relevant aspects of Management by Objectives movement within a project-matrix organisation - as we all know. She speaks for 45 minutes so everybody can hear it, as if she is in a lecture hall. We sit in a tiny room waiting for conclusions. Unfortunately 45 minutes was not enough to get from the general to the very concrete - namely: how many people should be trained. After her lecture I understand why this is an extremely controversial issue in country X and everything depends on the scientific paradigm we use in approaching the problem.

Unfortunately, I am not satisfied because I must prepare a report with a concrete proposal by the end of the week. Of course I could go to the Director's assistant with whom I worked last time, but she is not there any more. Found a better position and left three weeks ago. The Director's new assistant is very intelligent so we started to design the training curriculum together two days ago. Fortunately, the Director gave her authority to make all the relevant decisions. Yesterday morning, however, it turned out that the Director was dissatisfied with the menu served for the trainees for lunch so she

suggested another restaurant and - at the same time, another set of trainers and by that token a different training topic. This was yesterday. Today I tried to figure out whom we would train. This is a hard day's night (it was a hard day).

To relax I am now reading e-mails, to keep informed of how things are going back at the University, with my research project, etc. I also received a mail from the authors of this manual. They say I should write something about the specificity of public administration as an environment for advising. Well, what could I say about that? Nothing comes to my mind at the moment.

I.4. ADVISING AS A WAY OF PROFESSIONAL DEVELOPMENT

As mentioned above, this manual is for academics who have already worked as advisors, or who may be involved in advising activities in the future. The manual offers a comprehensive approach to this activity and describes the most important components of the advising process.

The reader will learn from this manual how research results can be utilised to prepare policy advice and how to design a research project that will produce practically oriented outcomes. The manual also contains information on how to reach the client with advice, how to establish good working relationships and be actively involved in the policy-making process. The reader will also learn how to establish himself/herself on the advisors' market.

It must be emphasised that being an advisor might be not only an interesting and challenging experience, but also a very important stage in the development of researchers' professional, including academic, careers.

Preparation of advice is a project with goals and objectives, measures, a timetable, budget, etc. However, this project is not confined only to the narrow delivery of advice. *The advising project offers a valuable learning opportunity.* It provides a chance to develop skills, including management skills that will be of use whatever career path is pursued by the advisor. Advising gives access to people and information not easily available to "regular" researchers. It enables contacts with people who address the same problems from different perspectives. It helps to bring up-dated knowledge to the lecture halls and present it to students. Researchers interested in practical use of their findings will realise advising is exceptionally valuable. They will learn from this manual how to market their products – the results of research - and reach the people who can make use of them.

II

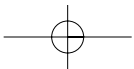
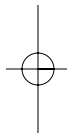
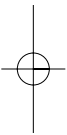
Advising Governments and Their Agencies

Basic Issues and Rules of Conduct

Advising Models

Policy Cycle

**The Policy and Legislation Process and the
Role of Advisors within this Process**



I. ADVISING GOVERNMENTS AND THEIR AGENCIES

In this chapter we discuss basic issues related to advising. An academic – advisor brings his/her knowledge and experience concerning specific topics. However, the advisor will be operating in a new environment with unknown codes of behaviour, rules, and procedures. It is not possible to prepare valuable advice and send the advice to the right recipient, unless the advisor is familiar with what policy-making is and how policy is made in the real world.

Advisors should also be prepared to perform different roles and functions to achieve the goal - provision to the client of timely, well justified, and appropriately presented advice.

Advising governments may be challenging and rewarding, or frustrating and disappointing. It depends on how the role of advisor is seen by the client and on relationships between advisors and the client. The issue of consulting models is also discussed in this chapter. At the end of it, we discuss the policy and legislation process and the role advisors can play in various stages in this process. We use the term "policy and legislation process" to emphasise that there is (or should be) an integrated process in which policy is developed, expressed in legal instruments, and implemented. The term also points to a process that involves various aspects of governance: the government, the administration, and the legislature, as well as institutions of civil society and the public at large.

II.1. BASIC ISSUES AND RULES OF CONDUCT

Policy makers are involved in establishing goals, examining alternatives, and determining strategies that will guide present and future actions of governments. **The better policy makers are informed, the better decisions they make.** Decisions concerning even a very specific and narrow sphere require knowledge of the **determinants of ongoing processes and phenomena and their broader context and the effects of actions undertaken in the real world.**

Whenever we mention policy advice, we talk about different types of advice delivered for different purposes to different recipients at different stages of the policy-making process. A simple listing of definitions of "policy" shows the different roles advice can play and how useful for governments it can be.

Policy is understood first of all as a philosophical or ideological stance. This understanding is followed by a set of very practical definitions. Policy can be:

- ✓ *an expression of choices*
- ✓ *a definition of current action*
- ✓ *a specific proposal*
- ✓ *a way of announcing government decisions*
- ✓ *a formal authorisation of action undertaken*
- ✓ *a negotiated position*
- ✓ *a statement of intent.*

Advisors can contribute to the formulation of policies in all seven listed meanings.

There are some general issues that should be emphasised while discussing policy advice. The first one concerns *the way policies are made*. Although policies should result from a deliberate process of decision-making, this is not a universal rule. *An advisor must be prepared for a situation in which the process is untidy and it is difficult to identify the main actors influencing the policy making process, their goals, priorities, interests, and the power they have*. Policies may result from negotiations among several groups/parties. Among these parties, donors of foreign assistance could be present. This fact should be considered very carefully. Some policy decisions could be made as conditions precedent in a donor-assisted loan agreement or other forms of assistance. All such facts should be analysed before the advisory process starts.

The second issue is connected with *the history of a problem*. *An advisor must be well informed of the history of a problem to be addressed and the way policies were formulated in the past must. Sometimes rules that govern policies are simply inherited from the past*. Traditionally some issues have been neglected and it has become a sort of tradition to continue to neglect them. As a result there is something like acceptance of certain policy by default.

It is also good to look carefully for reasons *why the advisor was asked for assistance*. It may also help to understand the structure of power within the organisation the advisor works for. This is because policy-making needs leadership. If there is no leader or the leader plays his role too loosely, it means he/she is abdicating leadership and the policy-making process becomes

spontaneous. It places the advisor in a very difficult position because, in fact, he has no client to work for.

Prepared policies may be changed by decisions made during the implementation of plans based on policies prepared. Changes can result from a lack of co-ordination of different government agencies' work or from competition between actors involved in the policy-making process. It is necessary to identify those responsible for changing policies and learn about their goals and motives.

The main purpose of advice is to provide policy-makers with the information they want. But this information should be accompanied by the information they are not seeking but need, although they are not aware of this.

The advisor must be prepared for several general tasks - conducting research; formulating conclusions and practical recommendations; commenting on new legislation; providing arguments to support selected options and solutions; presenting consequences of choices made; drafting documents.

Policies are made by a variety of individuals and groups. The advice will be useful only if the addressee of the advice is identified and it is presented to him or her in a proper format.

To make the advice useful the advisor should have their own policy for its delivery. This policy may depend on circumstances related to the operation of the client's organisation. Despite all organisational problems that may arise from the operation of the client's organisation, the advisor must focus on four issues:

- 1. definition of goals and objectives of the advisory process*
- 2. organisation of thorough and insightful analysis of the problem*
- 3. productive utilisation of available resources (own and offered by the client)*
- 4. communication of findings and ideas in a way that influences the addressee.*

The volume of detailed information included in the advice influences its value for the recipient. Some recipients generalise, some look for very detailed and

specific information. If the advisor works with a group of people representing the client, and if in the group there are those who generalise and specialists in specific fields, this fact must be recognised and the advisor's policy adjusted to the needs of such a differentiated group.

Advisors who work with policy-makers have two major tasks - **Provision of new perspectives and provision of support for arguments that will be used to justify policy options.**

Provision of new perspectives is crucial for changes in public policy. Public administration sector employees have to cope with a number of problems that were unknown several years ago. The policy-makers are often not prepared properly to perform their functions. Sometimes decisions are made using trial-and-error. The problem-solving ability of the management staff is limited because they often get too close to an issue. They only see it in terms of their existing expectations. The advisor can help them to a new perspective and new means to its solution. The advisor should ultimately aim to help the client see not only a problem, but also an opportunity to do things differently.

Provision of support for arguments that will be used for justifying policy options is seen as the basic task for an advisor. This is a difficult task because those involved in policy-making represent different interests, even if they represent the same government. Disagreements that arise over a wide range of issues bring conflicts. Conflicts can be seen as an opening of possibilities. However, they may also be seen as destructive forces. The client represented by a specific person may be tempted to use an advisor not to provide an impartial view, but in order to back up his own position in a debate. An advisor's opinion can always be presented as objective and independent. Then the situation of the advisor becomes very difficult. It is the advisor's professional responsibility and moral obligation not to allow him/herself to be used in this way.

The advisor is not employed by an abstract government agency, but by individuals working for this agency. The decision to use advisors is made by a group of people within the government agency. The advisor is responsible for delivering findings and advice to individuals. While supporting individuals in debates, the advisor must be careful in order not to cross the line when advising becomes unfair support and lobbying. If the advisor crosses the line, his advice may be rejected not by the direct recipient of advice, but others involved in solving the issue with the advisor's assistance. The advisor will be accused of manipulating facts and the advisor's credibility will be damaged. In such situations the advisor will not be able to complete the assignment.

If the recipient of advice pays for the service, should the advisor tell him what he wants to hear? This is not only an ethical question but also has a very practical dimension. Whether the advisor supports or does not support the position of the client represented, specific individuals may influence the advisor's current relationships with the client and may have an impact on future contacts. This situation is difficult but the advisor can handle it. It requires time and communication skills. The advisor has to make the client aware of some rules concerning advising, and inform the client about the approach to the problem used by the advisor. The advice will be better understood. The client must understand that the goal of a professional advisor is to deliver advice that counts. The client must have some basic understanding of standards used by advisors.

THE KAZAKHSTAN EXPERIENCE IN STRENGTHENING PUBLIC POLICY MAKING CAPACITY

The Government of Kazakhstan has made efforts to improve the system of administration and management. In 1995 the National School of Public Administration under the auspices of the President of the Republic of Kazakhstan was established (the present Academy of Public Administration). The Agency of Public Service of the Republic of Kazakhstan established in 1998 focuses on designing and implementing public service policy.

However, the state has no sufficient financial resources to provide education or to train public servants in order to improve their skills and knowledge. The government willingly co-operates with private educational institutions, international organisations and non-governmental organisations in order to solve this problem. The Agency of Public Service of the Republic of Kazakhstan, with the assistance of ICMA, has recently launched two regional training centres for the education of public servants, in Almaty and Pavlodar. Altogether there are 10 centres for the education of public servants in different regions of Kazakhstan.

International organisations that have their offices in Kazakhstan, such as USAID, represented by ICMA, UNDP, SOROS Foundation - Kazakhstan, or the Eurasia Foundation, support the process of gradual formation of the socio-political environment and political culture in Kazakhstan which should facilitate democratic reforms. The SOROS Foundation – Kazakhstan, in association with the International Centre for Policy Studies, Kiev, Ukraine, conducted four educational training seminars related to Public Policy: Social Partnership, Political Analysis and Process, Citizen Participation, Organisation of Independent Policy Institutions. In Cupertino In June 2001 with the "Eurasia" Foundation and the SOROS Foundation, Kazakhstan conducted a program called the "Summer University on Public

Policy". More than 150 representatives of special-purpose groups such as researchers, representatives of NGOs, representatives of local governments participated in educational activities.

The results of these activities were an **increased interest of researchers in concepts and methodology of Public Policy; increased general awareness of modern approaches to policy analysis; the gathering and analysis of experience in conducting applied policy research; the formation of more NGOs and newly created groups of young researchers interested in participation in a project to establish the first policy centre in Kazakhstan.**

The Public Policy Research Centre, which is scheduled to open in 2001 as an initiative of the Soros Foundation Kazakhstan, will support democratisation of political processes. This support will take forms of promotion of democratic values and principles and new methodology of public policy formulation. It should contribute to improvement of the quality of government policy formulation and implementation in spheres related to the restructuring of local government and regional development.

II.2. ADVISING MODELS

The ultimate value of advice depends to a large extent on the selected models of advising. The model of advising to be used depends on the client's needs and on the professional profile of the advisor (his/her knowledge of how government is organised and functions, whether he or she worked with governmental organisations before and with what organisations). *The personality of a consultant, attitude to the task and people representing the client as well as communication skills are all relevant to the model of advising.* The important thing is also the role that the client sees for the advisor.

Three basic models of advising can be distinguished. The criteria to distinguish these models are:

- *Who identifies and defines the problem?*
- *Who analyses the problem?*
- *How is the solution to the problem being arrived at?*

The first model is the "**expert model**". In this model, the client identifies a problem, analyses it and then articulates it to the advisor. The advisor is called to find a solution to the problem. This model is used most often in a situation when the client has no specialised knowledge and the external advisor is treated as an expert in a narrow field.

The second model is the "**doctor - patient model**". In this model the advisor identifies the problem. The client might be involved in the identification of the problem. Then the advisor analyses the problem and, acting as an expert, suggests solutions.

In the third model - the "**co-operative model**" - the advisor works together with the client's representatives to identify and analyse the problem, and then both sides work together to find a solution. This model assumes effective solutions can be produced only in co-operation with those who will be applying them. The advisor, as an outsider, cannot impose solutions. However, the advisor can assist those who make up the organisation in the process of recognising problems and then in discovering solutions to them. The advisor suggests solutions. But eventually they have to be accepted by the advisor and the client. In this model the advisor plays the role of an expert and facilitator in the process of identifying the best solutions. It is the advisor's task to bring new ideas to the table and convince the client's representatives about their value and usefulness.

Every model has its advantages and disadvantages in specific situations and conditions. The model selected should be adjusted to the client's specific needs and the nature of the issue to be addressed. It should also be noted that not all advisors are prepared to use all three models of advising. In the public administration sector the last of the above models seems to be the most promising. The advice will only bring results if it is used by the government agency, so success depends on people working there. The co-operative model of delivering advice brings the advisor and the client together. A feeling of solution ownership they have generated may help to implement them. However, under specific circumstances, the first two models could be more efficient. It may occur that the client expects expert advice in the first place. It could also be easy to implement the solution if there is deep trust in the advisor's expertise. Thus, flexibility must be a part of a good advisor's skills.

II.3. POLICY CYCLE

Advice has to be produced and delivered within a specific time frame and institutional setting. Advisors and clients do not always recognise this simple fact. Additionally *clients sometimes do not comprehend the complex nature of policy making and do not anticipate certain consequences of their activities.*

The client's role as policy-maker is not just to solve one or two specific problems. The client's role is to provide the opportunity to shape the future of different spheres of public life. Policies put the government "on record" regarding the most important issues of economic and social development. Policies are often described as "statements of intent." But, intentions do not always translate into actions and outcomes.

It must be clear for the client that the policies will be formal positions taken by the client to support the implementation of goals of specific policies. There is no room for spontaneous actions with random consequences.

Policies outline deliberate acts proposed by those who possess the responsibility for making decisions that will produce anticipated results. Policies make goals legal and sanction government courses of action. They lead to the development of strategies to carry out the goals.

The client should be aware of the necessity of preparing strategies, which are the means used to accomplish goals and implement policies. Strategies should encompass a wide range of alternatives implement programs and projects. They should consider the use of a variety of governmental approaches utilising the private sector and non-profit agencies.

II.3.1. POLICY AND LEGISLATION PROCESS AND THE ROLE OF ADVISORS WITHIN THIS PROCESS

The ideal picture of the policy and legislation process in democracies is one where there is a continuous, dynamic interaction between the government, public administration, populace and institutions of civil society.

In all democratic systems, governments and administrations supplement their internal resources for developing policy and legislation with various forms of outside assistance, primarily paid advisors.

The main reasons for this are:

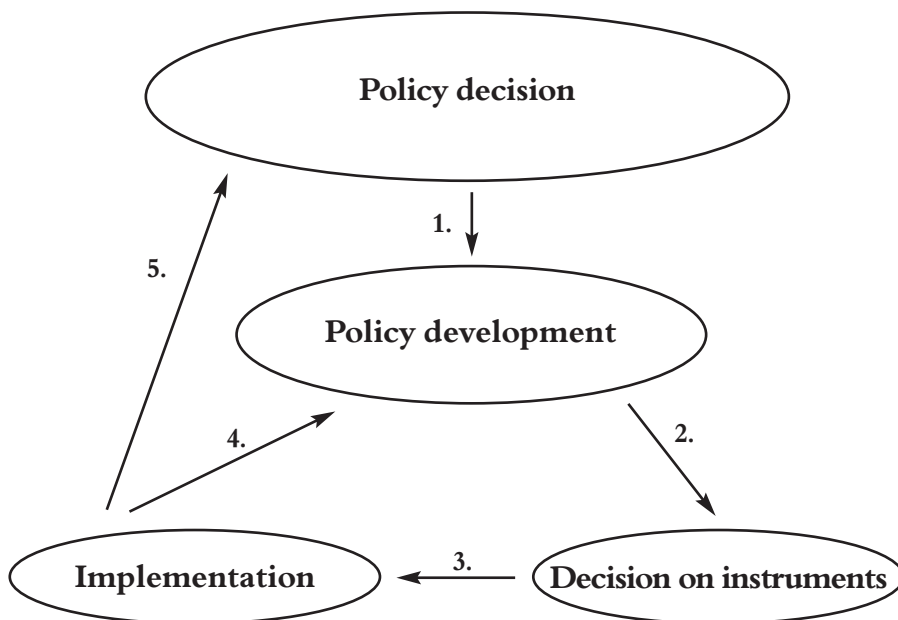
- ✓ *The complex and specialised nature of modern policy, which means that the government often does not have all the knowledge and specialised expertise and must rely on outside sources.*
- ✓ *The continuing pressure on governments to reduce the size of the administration to save resources (such as analytical and research resources) leads administrative organisations to seek alternative sources of information and advice.*

- ✓ *The focus of policy and legislation efforts shifts over time from one area to another. This means that policy workload is uneven within institutions, as is the need for resources. At times of heavy pressure in a specific policy area, there is a need to supplement resources on a temporary basis.*
- ✓ *Some aspects of policy and legislation may require objectivity or independence that would be hard to achieve within the administration. This is often the case, for example, with evaluation that is intended to assess how well the administration is performing current tasks. In such cases, outside advisors are almost always the only solutions.*
- ✓ *In addition, there are specific institutional reasons why outside help is sometimes preferred to existing internal resources, e.g., a Minister may feel that the administration is not taking his political concerns into account, or there may be internal struggles between departments that can be eased with the presence of outsiders.*

DESCRIPTION OF THE POLICY AND LEGISLATION CYCLE

It is useful to begin with a brief discussion of the policy and legislation process in order to establish where, when, and how advisors can be most valuable to government and the administration, and where advisors could have the greatest opportunities.

In the real world, the policy and legislation process is often disjointed, not fully coherent, and multi-layered There are many actors involved at different stages in the process, and there are complex interactions between them. The process takes place within a **political timetable** (e.g., elections), and it may be competitive rather than harmonious. Nevertheless, and with these caveats in mind, it is useful to view this process as a **cycle** comprising the following elements:



The circles in this diagram represent the main stages in the process and the arrows between them represent the work that needs to be done to lead from stage to stage. The idea behind this depiction is that any policy and legislation cycle begins with a general policy decision, normally a political decision by the Minister or the government to act in a certain area to address certain problems. This decision is sometimes only implicit, and is usually quite general. At this point, policy development work begins, leading to more specific decisions on approach and instruments. The next stage is implementation, from which then follow observations and conclusions that may lead to new policy decisions or directly to further policy development, and so on into the future. This process is now discussed in fuller detail.

THE STAGES IN THE CYCLE AND ROLE OF ADVISORS

In this section, the main stages in the policy cycle are described in more detail, followed in each case by discussion of the possible role for advisors in assisting in the activities that lead from one stage to the next.

CIRCLE 1: POLICY DECISION:

As can be seen from the diagram, it is convenient to look at the process as beginning with a policy decision. But the diagram also shows that a policy decision is normally influenced by previous policies and problems that may have been identified with their content or implementation. For example, a decision to introduce a new income tax system is a policy decision, but is very likely based,

either consciously or not, on some dissatisfaction with the rules and/or the enforcement of the existing taxation system. A policy decision is a decision to take action so as to alter a particular aspect of social or economic life.

A policy decision is a political act, normally made by the government or a single Minister. The most common forms of policy decisions are coalition agreements (often based on the electoral platform of the coalition members), annual or 4-year government program (often based on the coalition agreement), and decisions of the Council of Ministers. At this stage, policy decisions are often quite general, pointing to an area of activity and perhaps giving a general goal. For example, a decision to reform the education system so as to provide equal access, or a decision to decentralise the administration in order to provide better services to the population.

ARROW 1: PLANNING AND SETTING UP THE POLICY DEVELOPMENT PROCESS

Once a general decision is taken, there is **a need to set up a policy development process**. Normally, this is done quickly, and does not involve much activity. Nevertheless, and especially for large or complex policy development exercises, attention is often paid by the government, the responsible Minister, or the administration to how to structure the policy development as a project. For example, the process might require the setting up of a special Working Group and/or an outside advisory group, or the process might require a significant initial research phase. In other words, policy development is itself a project, and it needs to be planned so that the required output (say a policy paper or a draft law) is produced within the assigned time and budget (if any). For example, a decision to develop a new civil service law should set in motion a complex, in-depth policy development process that is likely to involve many players inside and outside the administration (international donors, trade unions, a large number of Ministries and Agencies, Parliament, etc.). If the government intends to have such a law by a given date, it needs to plan quite carefully the entire process, and the timing for the various outputs that are needed along the way.

Advisors. Decision-makers often underestimate the importance of this step, and the result is that policy development projects often fail to meet their deadline, or fail to include all the necessary activities. There are, however, cases where a planning process does take place, and in such cases advisors can be used as experts to help plan and design the policy development projects.

The main output of this stage is a project plan for the policy development process, including the team (skills needed, management structure), the activities and their sequence (e.g., research needed, what consultations are required), timetable for the steps, the papers that should be produced, the decision points along the way.

The main skills required here are: project planning and design, general expertise (local and comparative) in the policy and legislative cycle, and some subject-matter expertise (e.g., understanding of civil service matters is useful for assisting in planning the project to develop new civil service legislation).

POLICY DEVELOPMENT PROCESS - UZBEKISTAN CASE

Mechanism of Policy Development

Policy development processes are becoming more transparent and open in Uzbekistan. Advisors provide their services to political leaders grouped around and in the Office of the President and the Cabinet of Ministers. In urgent cases (such as the reform of Communal Services) a high level political Committee is established to oversee a technical task force which is given a month or so to produce a strategy paper. Generally, an Action Plan is drawn up by the Cabinet of Ministers, which initially invites proposals from a group of organisations - not only Ministries but also Parliament and academic institutions. The Liberalisation strategy follows this pattern. It has been set out by the Presidential Decrees (in June 1999 and June 2000).

At the moment the organisations given the responsibility for developing policy drafts delegate the work to staff that usually do not have enough time to perform the tasks assigned. This contrasts with the usual approach of having dedicated research staff working under a Steering Committee composed of senior experts.

CIRCLE 2: POLICY DEVELOPMENT

Once a political decision to take action is made, (and preferably following some project planning) the process of policy development can begin. This process involves a number of elements, ideally (but not necessarily) in sequence, and also with interactions and feedback loops among them. The purpose of this stage is ***to develop options for action so that political actors*** (Ministers, government, Parliament) ***are able to make informed decisions.***

The main elements of policy development are:

Situational assessment and problem definition:

It is important to evaluate the present state of affairs in the relevant policy area, to establish a clear description of the status quo. It is necessary to concentrate not just on what the legal situation is, but also what is actually happening in practice, and to measure the gap between the two. This leads naturally to a definition of the

problems and issues that the new policy and legislation would need to address. Defining the problem clearly will in itself help to identify possible solutions and eliminate others that are not suitable. It is important to identify as clearly as possible the issue that the government is seeking to address. What is the nature and scope of the problem? Why has it arisen? Who is affected or involved? What is the time scale for action? What exactly is the government's objective in addressing the problem?

Objectives:

The initial policy decision normally includes some objectives, but only after a detailed situational analysis does it become possible to define objectives and targets more precisely. ***Defining the objectives means defining the particular outcomes that the new policy and legislation should bring about, measured as precisely as possible.*** Objectives should also be expressed in a way that will facilitate consideration and analysis of alternative ways of achieving them. They should not be expressed as specific solutions. For example, if smoking is perceived as a health risk, the objective should not be "to increase taxes on cigarettes" or "to enforce age limits on sale". Instead, it would be far better to set an objective such as "to reduce cigarette consumption by a given percentage" This will allow for a wide consideration of approaches to meeting the objectives, including taxes, age limits, education campaigns, and restrictions on smoking in public places.

Options:

Once the situation, problems, and objectives are clarified, the initial policy decision should be elaborated into options for concrete actions. For example, the policy decision may have been to reduce the use of dangerous drugs, now the approaches to achieving this goal, such as increased police enforcement, education, higher fines, border controls, etc, have to be defined and elaborated. Or a policy decision to reform the education system may be pursued through teacher training, changes in the curriculum, restructuring of schools and school governance, or a combination of some of these options. ***Options considered should include, in addition to direct regulation, alternatives such as improving implementation of the existing law, improving information, introducing a voluntary scheme, promoting self-regulation by a profession or industry, and the use of economic incentives.***

Consultations:

Throughout the process of developing options and assessing their costs and benefits, other interested parties, inside and outside the administration, are consulted to identify and resolve conflicts, and to enrich the assessment with views of those who would be affected by the decision.

Assessed options:

In order to allow decision-makers to choose the best option, it is ***necessary to assess the potential costs and impacts of the options.*** Each of the identified options

has costs, and each can be expected to have a different impact on reaching the policy objective(s). In the case of reducing drug use, it is possible that enforcement is more expensive than education, and higher fines have been tried elsewhere and found difficult to collect and thus ineffective. (This is only an example, and may not be correct). In any event, it is important to assess each alternative as to costs, expected benefits, and ease of implementation. The process for assessing options is normally referred to as "impact assessment" (ex ante) and is itself an approach and a methodology. Many countries are attempting to incorporate impact assessment formally into their policy development process.

Recommended option:

Based on the analysis and consultation, as well as other considerations such as political preferences, international treaties, etc., a preferred approach to meeting the policy decision is identified and recommended to the responsible Minister, based on one of the alternative options or a combination of two or more.

Draft legal instrument (law or regulation) to implement the approach:

Now that a concrete approach to the problem has been agreed, it is possible to draft the necessary legal instruments to implement the approach.

Draft for decision:

The draft legal instrument needs to be reviewed within the proposing Ministry and by other relevant Ministries. In many systems it is also reviewed by a Legal Council or its equivalent to ensure conformity with the constitution and other laws. Once all these steps are taken, the draft is ready for decision.

ARROW 2: FROM IDEAS TO INSTRUMENTS

The policy development stage, with its various elements, is the most fruitful stage for advisors in the policy and legislative cycle. Academic skills are particularly useful at this stage. It is customary to establish a Working Group or a project team for complex policy development processes, and advisors can either form the team, or participate as members along with members of the administration. It is normally preferable for such teams to be multi-disciplinary, including subject-matter experts, economists, lawyers, statisticians, organisational experts, etc.

The main outputs at this stage are:

- ✓ **Situational description background reports, including statistics, summaries of interviews, historical analysis, and legal analysis;**
- ✓ **Problem analysis reports, based on the background report and also additional research and analytical work to establish the reasons for the problems and facilitate definition of objectives;**

- ✓ **Policy papers, including background, objectives, options, pros and cons, recommendations for action;**
- ✓ **Impact assessment of proposed options, culminating with a report outlining financial, social, environmental costs and benefits of the different options; and**
- ✓ **Legal drafts of selected option(s).**

The main skills useful at this stage are research and analytical skills, organisational expertise, legal expertise including drafting, knowledge of impact assessment including cost-benefit analysis, and subject-matter expertise.

CIRCLE 3: DECISION ON INSTRUMENT (S):

At this stage, the developed legal instrument is brought back for decision by the Council of Ministers. The final decision depends on the nature of the instrument. Laws normally require the approval of the Council of Ministers before they proceed to Parliament for the required readings (normally three). Regulations may require the approval of the Council of Ministers, or they may be passed by the Minister, depending on their nature and on the legal tradition of each country.

ARROW 3: GETTING READY TO IMPLEMENT

Normally, advisors are not heavily involved in the decision-making phase, as this is the responsibility of the government and elected politicians. However, there are some countries (Canada is an example) where presentations to the Council of Ministers are sometimes prepared by advisors, especially in cases where advisors were deeply involved in the development of the policy itself. Advisors can, in general, continue to be useful to the Minister in preparing the new policy for presentation to the Council of Ministers and to parliament. At this stage, they act more as personal advisers, and their role depends significantly on the relation they establish with the Minister throughout the process.

Once the decision is made and the legal instrument is approved, advisors can have a significant role in the preparation for implementation. This preparation is often underestimated, and there is a common fallacy that "laws, once passed, implement themselves". This is one reason why many countries pass good laws but fail in the implementation. ***Good implementation requires solid planning of the institutional structures that would be responsible for implementation, such as departments within the Ministry or special agencies.*** For example, many civil service laws require the establishment of a civil service agency. But the structure and specific activities of the agency are often not fully elaborated in the law, and this needs to be done before full implementation. Implementation also requires often training of the personnel on the new rules and regulations. In addition, good implementation often requires extensive communication with those affected by

the new law, such as industry or NGOs, so that they can comply with minimum enforcement. In all of these aspects, advisors can be of assistance to the administration.

The main outputs at this stage are:

- ✓ ***Organisational design, including structure, internal rules, personnel, management structure for the institution responsible for implementation;***
- ✓ ***Training;***
- ✓ ***Secondary legislation (rules, orders, regulations); and***
- ✓ ***Strategies and plans for explaining the new law and its specific requirements.***

The main skills required here are organisational expertise, training skills, legal skills, and communication and consultation skills.

CIRCLE 4: IMPLEMENTATION:

Once the decision is made at the right level, and the Ministry or Agency responsible for the new instrument has organised itself for implementation, the actual implementation can begin. Full implementation can take time, sometimes even a number of years. Implementation is essentially the role of the administration (Ministries and Agencies), although in recent years a tendency has appeared to involve NGOs in implementation, or even transfer implementation directly to them.

ARROWS 4 AND 5: CLOSING THE CYCLE - EVALUATION AND MODIFICATION

All policies and laws, once implemented, bring about both intended and unintended changes, both positive and negative. ***A successful policy process is a cycle, because lessons learned from the implementation of a policy or legislative instrument are then incorporated back into the process, and give rise either to new policy decisions or additional policy development to modify the present instrument.*** But of course, for lessons to be derived and re-incorporated into the cycle, there has to be a conscious process of monitoring and evaluation. Monitoring is usually an on-going process, often carried out by the administration itself (only rarely with the assistance of advisors). The main focus of monitoring is implementation, and it tends not to question the policy or the law itself. On the other hand, evaluation (sometimes referred to as ex post evaluation, to distinguish it from impact assessment, which is ex ante) is a planned project with a well-developed methodology, designed to assess critically all aspects of the policy or legal instrument.

Because it requires objectivity, ex post evaluation is normally carried out by outside advisors, particularly people with specialised training and skills. Periodic

evaluation (e.g., once every 5 years) is often required by governments before renewal of funding for certain activities or taxes can be approved. In some cases, Parliaments require evaluation after a specified time following the passage of a law. Much of the contribution to the evolving methodology for evaluation is made by the academic community (sociologists, economists, public administration specialists), and evaluators have their own publications and scientific societies (e.g., the European Evaluation Society).

However, evaluation is very useful even if for some reason, (e.g., lack of skills or resources), it cannot be performed in a fully "scientific" manner according to specified methodologies. The act of thinking systematically about a law or policy, or of drawing conclusions on the basis of a small number of well-planned interviews may be very useful for the government's learning process. Introducing the concept of regular evaluation into the administrative culture can be a useful role for academic advisors.

The main output of evaluation studies is an evaluation report, which attempts to determine with respect to a policy or legal instrument questions such as:

- ✓ *What results has the instrument produced?*
- ✓ *To what extent have the intended objectives been met?*
- ✓ *Were there any unwanted or unplanned effects, and if so, what were they?*
- ✓ *What are the implementation difficulties?*
- ✓ *What degree of compliance has been achieved?*
- ✓ *How are benefits and costs distributed?*

Based on answers to these and similar questions, an evaluation report should produce analysis and recommendations regarding the effectiveness of the law, the possible need for amendments or even repeal of the legal instrument or parts of it. Additionally, the results of the evaluation may lead to some recommendations for changes in the implementation methods. This information might lead the government to take a new decision, and start the process all over again.

The above is an ideal picture. It is clear that not all the steps are always followed. For example, in some countries, the process of considering policy alternatives is not fully separated from the process of drafting the legal instruments. Also, some policies may not require a legal instrument at all, but this is rare. Often options are not really or fully assessed due to lack of knowledge or resources, but this is sub-optimal. Evaluation is often not performed, or the results are not followed. But even when not all the steps are fully carried out, some elements of each step do appear, if only in an abbreviated form. Policy advisors can make a significant contribution to improving the policy cycle in their countries both by planning solid policy development projects, and by carrying out substantive research and

other analysis such as situational assessments, impact assessments, organisational design, and ex post evaluations. The advisors' main resources are their subject-matter knowledge, professionalism and objectivity.

POLICY DEVELOPMENT PROCESS - UZBEKISTAN CASE

The Analytical Framework

It is assumed that policy advisors are interested not only in producing impressive papers, but also in contributing to relevant and robust efforts for change! This should lead to the adoption of a "managing change" framework. The advisors' efforts should help policy-makers work through the following key questions:

1. WHY is change needed? What is wrong that needs to be fixed? Has "the problem" been clearly defined - and widely accepted?
2. WHO do we need to involve? Where will resistance come from? Whose input do we need to generate relevant ideas and ensure understanding, support and a "feeling of ownership"?
3. WHERE do we want to go? Get clear and detailed terms of reference.
4. HOW do we get there? Generate options, test them rigorously, select one, find leadership support.
5. WHAT do we have to do now? Make action plans.
6. ARE WE SURE that all this is actually going to be worthwhile? Will the selected option be seen as feasible and desirable? Will the perceived advantages of the change outweigh the perceived costs?
7. HOW will we know if we're winning? Agree indices, ensure monitoring and evaluation. Organise reviews.
8. HOW do we keep the momentum going? What monitoring mechanisms should be involved/developed?

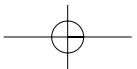
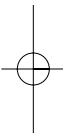


Academics as Advisors

**Reasons Why Governments Rarely
Use Academics As Advisors**

**Making a Research Project Practically
Oriented**

Core Tasks of an Advising Project



III. ACADEMICS AS ADVISORS

Academics do research and lecture, they conduct conferences and seminars and supervise students - these are their basic activities. They may also serve as advisors who use results of their research work to contribute to the policy making process. In this chapter we first discuss the main reasons for the lack of good working relationships between researchers and practitioners involved in policy making. Then we explain how to make a research project more practically oriented and finally we characterise the project specifically designed as an advising project.

III.1. REASONS WHY GOVERNMENTS RARELY USE ACADEMICS AS ADVISORS

Why do governments not use academics as advisors more often? Why do research projects so often offer so little for practitioners dealing with policy making?

This is **because academics are not trained to be advisors - they are researchers and lecturers and that research projects are rarely meant to serve practical purposes and are not designed to produce tangibles that policy makers are looking for.**

There are several more general reasons why there are not good working relationships between the research community and practitioners from governments. The major reasons include the following:

- ✓ **The way problems are selected for research - researchers focus on problems that are not priorities for policy makers**
- ✓ **The lack of contacts between researchers and practitioners**
- ✓ **Time frame** - the cycle of academic research differs from the cycle of policy making in that in the latter the answers to questions that arise are needed urgently. That is not how research activities are usually organised by academics
- ✓ **Methodological approach** - researchers address issues from a different perspective to those represented by governments. Researchers put an emphasis on issues that are not perceived as priority by government representatives. This works for research purposes, but not for practical purposes. The answers researchers reach depend on the research questions they ask. Inappropriate questions lead to answers that are useless, from the point of view of the practitioner.
- ✓ **Practical orientation** - researchers often neglect the practical side of their investigations. While being focused on the theoretical aspects of different problems they are not able to get engaged in productive dialogue with government representatives. Without this dialogue there is no possibility to work on solutions for practical problems.

- ✓ **Communicating the findings** - even if researchers arrive at interesting conclusions from their work that are worth sharing with governments they lack knowledge and experience concerning adult education. Adult education skills are crucial in conveying efficiently a message to government representatives. Providing advisory services is to some extent a part of the adult education process - thus specific techniques and interactive methods should be used to convey information and messages that advisors' reports contain.

There are basically two different approaches to remedying this situation and increasing the contribution of academics to the policy-making cycle:

The first is to include practical considerations in the design of academic research itself, and to consider how the results of academic research can be communicated to government.

The second is for academics to engage themselves specifically as advisors to government, and to think in terms of "advising projects".

The two approaches are discussed in the next two sections.

III.2. MAKING A RESEARCH PROJECT PRACTICALLY ORIENTED

Academic investigations are aimed at reaching four types of outcomes:

- *description of processes and phenomena*
- *explanation of reasons and implications of investigated processes and phenomena*
- *prediction of possible scenarios of situation development based on a generalisation of findings and conclusions*
- *recommendations of steps to be undertaken in order to eliminate conflicts, solve problems, and prepare strategies and action plans for the future*

Not all outcomes have to be the result of a research project. New phenomena may only be described and analysed, but predictions are not made since it was not the goal of the project. It is not to say that the description is not useful for policy makers. A description made by an outside person may reveal new aspects of different issues. However, it may not be enough to interest governments.

Thus the main difference between purely academic research and policy research for practical purposes is that the latter is oriented towards the recipient's needs. The point is not to produce more information. The point is to produce specific information for a specific client who needs this information for a specific purpose.

In order to make a research project practically oriented, the main steps of project preparation must be implemented with the final results of the project geared towards the perspective of a potential "client":

- i) **The goals of the project** should be defined in consultation with the potential recipient of the findings. The direct consultation should be possible if the advisor is hired to perform the task, but this is not normally the case with research projects. If direct consultation is not possible, specific topics should be selected carefully - this will enable the researcher to deal with a set of interrelated issues in separate ways with the possibility to summarise and generalise the findings. This approach allows flexibility in using the results of the project to meet the expectations of the potential recipient. If the project is supposed to be practically oriented it is initiated independently by the researcher, the tasks should be reviewed from the perspective of the policy-makers' needs along with other researchers who have knowledge and expertise, preferably with those who are experienced advisors
- ii) **A methodological approach** should be selected in order to achieve the goals (even if the advisor finds many other interesting issues to be explored by means of a different methodology)
- iii) **Information** should be collected according to the principle that only information needed to achieve the goals of the project is gathered and analysed
- iv) **Methods of analysis** should be selected using the criteria of their adequacy for the project's complexity and its goals; very sophisticated methods do not guarantee better results from a practical perspective
- v) **A plan of action** should be put in place to achieve the goals of the project; different projects call for a different mix of tasks
- vi) **Practically oriented projects** serve not only purely informative purposes; these projects may also market some ideas that were unknown to policy makers before they started to talk with researchers about co-operation
- vii) While designing the project the researcher must remember **the format in which the findings** and advice will be presented. The presentation of the results of research projects to policy-makers by advisors must be very selective. It is a big mistake to present everything about the project. What should be presented are just results. If more information and more supporting documentation is needed, the client will inform the advisor of this.

POLICY DEVELOPMENT PROCESS – THE UZBEKISTAN CASE

Experience and Lessons

Detailed Action Plans accompany all decrees and resolutions in Uzbekistan and monitoring studies are carried out. However, the plans are formulated in a way that makes objective assessment of assumptions and results very difficult. This is because:

- ✓ *tasks are often general and unclear*
- ✓ *they are not agreed in advance with the body which is expected to carry them out*
- ✓ *resources are rarely specified*
- ✓ *the results are rarely expressed in measurable terms*
- ✓ *responsibilities often overlap and are therefore confused*
- ✓ *monitoring starts too late and is interrupted*

To make reforms of public administration effective Action Plans should:

- ✓ *identify clear, tangible and manageable tasks*
- ✓ *allocate these tasks to a specific organisation*
- ✓ *give the necessary resources*
- ✓ *clearly identify expected results*
- ✓ *establish not only deadlines, but also milestones (periodic progress points)*
- ✓ *be consulted with all parties involved*
- ✓ *result from intensive dialogue*

III.2.1. CORE TASKS OF AN ADVISING PROJECT

What distinguishes advising projects from academic research projects is that the former are specifically designed to respond to the expectations of a specific client. All advising projects involve the same core tasks. It is around these that the advising project plan is constructed. These core tasks are as follows:



- **Collecting information:** one of the fundamental tasks of the advisor is to collect information so that it can be used to increase the effectiveness of decision making, be it the decision making of the advisor, or that of the client. Collecting information involves a) identifying its sources, and b) obtaining information. Information can be obtained from two sources. Primary data are obtained specifically for the task in hand and come directly from the source – government agencies' statistics, background documents, memos. Some information will come from interviews and surveys. This involves formal social research techniques. Effective advisors may or may not be competent in these techniques

themselves. They may have to look for support from other researchers who will prepare and conduct these interviews and surveys. Secondary data are those that have been collected for other purposes, and just happen to be useful for the project. Secondary information can be obtained from national statistical offices, specialised agencies, reports, magazines, and newspaper articles. Some government agencies have their own libraries. A good advisor knows his or her way around all these sources of information and is imaginative in using it.

- **Conducting analysis:** the term analysis covers a wide range of approaches and techniques. In essence, though, it is manipulating data so that patterns, interconnections and relationships become evident. Such a process may only involve intuitive insight and experience. At the other end of the scale, it can require the application of sophisticated formal techniques. Advisors may use analysis to make decisions themselves or to present the information in such a way that the client finds it easier to make the decisions. Whatever the approach, analysis is an expert skill and one of the critical value added activities that the advisor can offer.



- **Communicating with the client:** contacts with the client need to be sustained for two reasons. First of all, the client is an important source of information. Second, it is crucial for the success of the project that a relationship be maintained with the client because an advising project, unlike pure research, is always an interactive process. Communication takes a variety of forms. It may be verbal or written. It may be delivered in person or through some other medium. It is the advisor's communication that the client sees. The quality of communication will dictate the client's perception of the project as a whole.



- **Co-ordinating the project:** even a simple advising project demands that a number of people must integrate a wide range of tasks. A co-ordinating function will be needed if this is to be done effectively. At a functional level, co-ordinating involves planning and budgeting the project. At a human level it involves leadership and motivation of team members. Even if an individual advisor performs the task, he or she can still play a very instrumental role in co-ordinating the activities of people involved in the project from the client's side. Even without authority to delegate tasks the advisor may motivate the group of people by preparing a schedule of working meetings when people involved in the project are supposed to contribute to the project in various ways. These contributions require some preparatory work, and it is also a good vehicle to reach other participants and influence the way they operate.



CODES OF ETHICS

The Australasian Evaluation Society has developed its own Code of Ethics, which includes responsibilities of the members of the Society to the public as well as responsibilities to their colleagues - other members of the Society. The adherence to the requirements listed in the Code is a condition for Society membership. The members are also encouraged to openly inform clients, colleagues as well as other concerned persons of their adherence to the principles listed in the extract of the Code below:

"Responsibilities to the field of evaluation and the public:

Ethical conduct

1. When commissioning, conducting or reporting on evaluation, members should strive to uphold the ethical principles and associated procedures endorsed by the Society in the Guidelines for the Ethical Conduct of Evaluations.

Public Interest

2. Members should consider the interests of the full range of stakeholders in their evaluation work, including the broader public interest, and in particular, the potential impacts of differences and inequalities in society.

Quality work

3. Members should undertake their evaluation work in accordance with appropriate standards of evaluation practice and a commitment to continuous improvement.

Competence

4. Members should remain current, competent and rigorous in their practice of evaluation, and fairly represent their competence and experience to others.

Courtesy

5. Members should conduct themselves with courtesy and consideration towards all with whom they come into contact during the course of their work.

Integrity

6. Members should practice with honesty and fairness.

Truthfulness

7. Members should not knowingly make or prepare or certify as true any oral or written statement, which is false, incorrect, misleading or incomplete.

Reasonable criticism

8. Members should only use reasonable criticism and should not attempt to maliciously damage the professional reputation, practice or prospects of others in the field of evaluation.

Confidentiality

9. Members should ensure responsible use of information obtained in the course of their evaluation practice, and respect confidentiality undertakings.

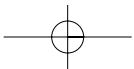
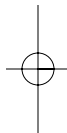
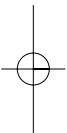
Acknowledgement

10. Members should acknowledge the work of others by appropriate citations and references.

Introduction of work

11. Members should follow due process when soliciting or offering work, and should not improperly solicit or offer work either directly or through an agent nor improperly reward any person for the introduction."

Perhaps establishment of similar associations as well as drafting a clear Code of Ethics applicable to all advisors working for public administrations in the region would help advisors.



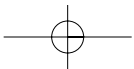
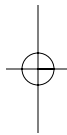
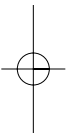
IV

Clients - Recipients of The Advice

Demand's Expression and Types of Advice

To Make a Change Through Advising

Types of Clients – Recipients of Advice



IV. CLIENTS - RECIPIENTS OF THE ADVICE

A call for policy advice may come from different sources. A variety of direct and indirect methods can be used by the client to approach the advisor. The type of advice required by the client and offered by the consultant depends on channels used to express demand and on who the client is. The major types of clients and their needs for advice in terms of the content and format are presented in this chapter. We also discuss the question of how to decide whether the advice is useful and what to do to make sure the advice is used by the client.

IV.1. DEMAND'S EXPRESSION AND TYPES OF ADVICE

Advising is a process of selling knowledge to a client who is interested in buying it. The advisor is important for the client - this is why the client hired the advisor and decided to bear the cost of this assignment. However, the advisor must remember that the client will only find the service the advisor is offering attractive if it is something that the client's institution cannot provide for itself. To be more effective the advisor must know why what he or she is offering will be of value to the client's institution.

Selling requires a supply and demand relationship. Demand comes from clients in different forms and through different types of institutional arrangements. Demand can come directly from government agencies in the form of a request for specific advising services. This request can be addressed to a specific, advisor identified earlier, or to a group of advisors. The request can also be announced publicly and advisors can offer their services in a competitive process. Selected advisors provide their services as contractors.

The most popular areas of demand are working groups or task forces established to address specific issues such as drafting laws, producing concept papers, etc. Other areas of demand include:

- ➔ *international projects assisting governments in their work on reforms - international projects are often looking for local advisors' support*
- ➔ *publicly announced projects aimed at finding intellectual support from advisors*
- ➔ *organisations supporting changes in the public administration sector (NGOs)*
- ➔ *requests for background research from government agencies.*

Regardless of the source of the demand, calls on the skills of advisors press them to perform different functions and to provide a variety of advice, topics, and formats. Advisors are involved in offering technical expertise, generating cultural change within the organisation and its environment in order to improve efficiency and resolving internal conflicts within the organisation and between organisations concerning policy making. They may also be expected to help the organisation build relationships with outside parties important to the policy making process and help the organisation develop its own critical resources to design and develop policies.

Most advisors' activities are connected with the gathering and analysis of information and sharing findings with organisations. Usually the advisory project is undertaken over a relatively short time. Increasingly, however, projects with a longer time frame are demanded.

Advisors should not only deliver advice, but also look where the extra demand might be found. It may help achieve the general task of advising: bringing a change in the sphere originally defined as problematic.

Wherever the demand is found and whatever forms the advising takes, the advisor should remember that the environment for his/her work may evolve and the advisor may find him/herself in a configuration that was not anticipated earlier.

That is why the advisor should always present a pragmatic attitude and after initial contacts with a client remember: to view the problem and the scope of the advisor's activity broadly in order to help "keep the door open" in case changes in the advising project are needed; not to look for simple solutions; be strict about a comprehensive approach and methods needed to perform the task; make him/herself familiar with development plans that the government prepares and has. This is very important for the advisor's activity in the future.

SEARCH FOR CONSENSUS

Motives and criteria for the selection of project participants and the role of advisors in this process

At the beginning of 2001 a rural development pilot program was launched in Romania. One county from each of the country's 8 regions was to be selected for the program. The program had three main components. The most interesting of them, from the point of view of counties, was component number 2 - improving the infrastructure in 20 villages. The other components

were concerned with issues such as training in the field of rural development and technical assistance.

In order to write a good program (and with an intention to further cooperation during the implementation of the project) the Cluj County Council formed a consortium that included some state institutions (like the Prefecture, Regional Development Agency and Cluj Public Finance Agency), specialists from three universities and two NGOs (Civitas and ANTREC) with experience in this field.

When designing the program, selection of participating villages became a hot issue, because the 20 villages to be selected were to be the potential recipients of strong support and the main and only beneficiaries of the program. Three different opinions on how to select villages were presented by three different groups:

1. The county councillors wanted to be personally involved in the selection of beneficiaries of the project;
2. Public servants from the County Council suggested the main selection criteria should be "wealth" and "the needs of those communities" - therefore the poorest counties were to be selected;
3. Advisors from universities held another view, according to which "each community's ability to help complete those infrastructure projects" was considered as a criterion needed to select the most capable communities

The interests behind the first two opinions were clear. The councillors acted politically, trying to share the benefits along political lines, each party hoping to reward the villages in which their party's representatives were elected mayors. Public servants proposed a selection procedure that would help the County Council satisfy the most pressing demands. Also this procedure was the simplest to implement, being based on statistical data and on the needs of villages known to the County Council. The advisors saw their proposition as a key to a real success because the project was much more likely to succeed with the involvement of the whole community. This was also a possibility for them to be still involved and become more influential in the project implementation phase.

The debate over the selection procedure took quite a long time and wasted a lot of energy. Finally, a compromise between the advisors' and public servants' opinions was adopted. Even though the result of the compromise was not the best, it was possible to achieve it only because advisors had a very specific request from the foreign donor that funded the project. They were asked to select the best institutional partners who would not only be involved in this component of the rural development project but:

- c) would also be interested in participation in training,
- d) would be concerned about involving local communities in identifying development priorities, and
- e) could participate financially in supporting selected projects.

Thus the advisors played different roles in this project. They served as professional advice providers, but also as agents of the donor that wanted to achieve two goals during the selection procedure: selection of 20 villages and selection of the best institutionally prepared villages that were needed to implement other components of the project.

IV.2 TO MAKE A CHANGE THROUGH ADVISING

To avoid frustration, the advisor must remember that delivering advice to the client does not necessarily mean that the advice will be used and that a new policy will be designed and implemented according to the advice. It would be naive to expect that the advisor's work will certainly change the course of the government's action. Advising may influence the sphere of real life, but the advisor has relatively limited possibilities to ensure his advice is utilised by policy makers. On the other hand, advisors should learn to detect the influence of advice in a more subtle way. While direct adoption of the advice is not likely, some of the ideas, or the approach or the way of conceptualising problems may in fact be taken over by the recipient and incorporated into practical action in some form or another.

To increase the possibility of impact on decision-makers, the policy advisor should be aware that the mechanism of influencing reality is very complicated. Without knowing how the policy development process is organised, who the main players are and who the addressee of the advice should be, it is difficult to decide what vehicles should be used to deliver advice. With this knowledge, the vehicle can be selected properly, and the advisor may assume that everything possible has been done and that there is an opportunity to be heard and to influence the process of policy development.

IV.3. TYPES OF CLIENTS - RECIPIENTS OF ADVICE

The first thing the advisor must be aware of is that people who hire the advisor are not necessarily the recipients of the advisor's product. Often, the question is "who is the real client?" Is it the ultimate beneficiary, or is it the sponsor who pays for the advisor's services? Or is it the person who orders the advisor's services and formulates problems and questions? Answers to these questions are not easy and

it is a big challenge for the advisor to put together a puzzle of roles, positions, and interests of different players involved in the process of working with an outside advisor.

The advisor should explore the environment that he/she will be working in to understand relationships among different agents involved in the process. This exploration will help identify the person/persons/organisation which: pays the advisor; defines the goal; evaluates the work; accepts results and implements the action plan drawn up from the advice.

Exploring the environment helps avoid the danger of being used unfairly. The advisor should always know whose interests he/she is defending and supporting. The outside advisor should also be aware that his/her work can be seen as a threat to internal advisors and/or that results of his/her work may jeopardise positions of important people in the institution receiving the advice.

WHO IS THE ADVISOR'S CLIENT AND WHAT IS HIS ROLE IN THE PROJECT?

I have served as an advisor in a number of projects implemented in countries of Central and Eastern Europe (CEE) since the economic and political transformations which began in the early 1990s. Many of these projects were financed or co-financed by international organisations supporting development initiatives in the CEE region. The basic problem that I had in most projects was to identify the client. To put it more precisely, not only to say whom the recipient of the advice is, but to define the recipient's needs and expectations as well as the role the recipient/client (via his representatives) wants to play in the project.

I was called once to advise on improving the quality of public management through institutional development and a training program for local government employees in one country in the CEE region. Initially the task seemed relatively simple: designing and implementing the program was a kind of routine activity given my experience and knowledge of how things should be organised. But I was wrong.

The Government of Y financed the program together with one international financial organisation. A group of people - a Task Force - from the Ministry X was responsible for the implementation of this program. These people introduced themselves as responsible for the program on behalf of the Government of Y and the international organisation. Thus the Task Force had unlimited authority and power to suggest, evaluate, recommend, etc. Access to high-ranked officials at Ministry X was very

difficult. In fact it was impossible to contact them without going through the Task Force. I was not able to verify statements made by the representative of the Task Force. Thus I assumed that the Task Force representative presented the true picture of institutional arrangements made by the Government of Y to implement the project. Again, I was wrong.

During the project representatives of the international organisation decided to arrange an assessment mission. They arrived in country Y, organised a meeting and I learned from them that the Task Force represented only the Ministry X. The international organisation had no representative in the country Y responsible for the project and requested direct contacts with them while implementing the project. It took me several weeks to figure out the pattern of interests and how the relationships between the Government of Y and the international organisation were structured. After getting a clear picture of relationships between the Government of Y and the international organisation I started to work to make both sides understand their roles in the project.

Finally, all parties involved in the project understood and admitted that the only client was Ministry X. It also became clear whom the Task Force people could speak for. They could not speak for the international organisation. It helped facilitate the work and discussions on amending the project based on monitoring results. But it was not the end of the problems. The Task Force people were so eager to make the project successful that they tried to become more and more involved in technical discussions about the project and wanted to make decisions on how to proceed with project implementation. Co-operation with involvement of the client is very important at every stage of the project implementation process. However, the client cannot be an advisor to himself! The client can accept or reject the advice – but cannot force the advisor to deliver the advice that in fact is generated by the client. The main argument for the Task Force's involvement in generating options and producing recommendations was that the project was so politically sensitive that things could just not be left to the outside advisor. This approach jeopardised the project. It took me several more weeks to explain to the Task Force where their place was in the project implementation process.

Since the project was successful now all parties involved in it have only good memories of what happened. Probably only I remember all the details. This is another lesson and an experience to be used in the future while advising.

The advisor interacts not with abstract institutions but with individuals who represent the institution and their different, particular interests.

The advisor will first have to deal with a contact client. The contact client is the person who first approaches the advisor and proposes the advisor address a problem or issue on behalf of the institution. The contact client may have some basic understanding of the issue but this is not necessary. The important thing is that the advisor understands the role and position of the contact client. Then the advisor has to deal with one or more intermediate clients. Intermediate clients are members of the institution who become involved in the advising project. They will work with the advisor and provide information. Intermediate clients may be the actual recipients of the final report. The primary client - the next type of client that the advisor may meet in his/her work - is a person or persons who have identified the problem or issue that the advisor has been called in to address. The primary client is always a person or persons with decision-making authority. All the clients mentioned above are important in the process of reaching agreement on tasks, responsibilities, and outcomes of the project. Thus, even if the advisor is dealing only with the contact client, it is important, if success is to be achieved, to spend some time thinking and clarifying the roles and interests of other clients in the product. It is often useful to establish communication channels with other clients, although this should not be done without the knowledge of the contact client.

In the practice of delivering policy advice related to public administration reforms, the advisor deals with clients defined institutionally in a straightforward way – Parliament, Public Administration Institutions (central, regional, local government), Politicians/Political Parties.

Most of these institutions and organisations have their own staff advisors. However, input from outsiders is pretty common since they offer new perspectives. The experience with these institutions and organisations is that their representatives often express their needs rather vaguely. In Central and Eastern Europe and Central Asia, these institutions often use support from international agencies and bilateral foreign donors. *When the outside agency is paying for the support of the local advisor, it is not really clear whether the advisor is supposed to serve this agency or the local institution that the outside agency works for. This creates confusion for the advisor between the role of the primary client (the outside agency) and the role of the intermediate client (the local institution).*

The advisor may find him/herself with conflicting loyalties. Defining the goals of the project and identifying the interests of all parties interested in the result of this project is a must for the advisor. Often, the best solution is for the advisor to insist that a joint steering group, including the agency and the local institution, should be formed to interact with the advisor.

It is an attractive and challenging task for advisors who are academics to provide advice to a parliamentary committee or to a ministry. The attractiveness of this type of assignment should not prevent the advisor from institutionalising his/her relationships with the client. Clear and binding arrangements are likely to strengthen relations, not weaken them, and the advisor should not be ashamed to insist on a contract. Contractual arrangements oblige the client to perform certain activities in support of the advisors' work. Contractual arrangements set rules that both sides have to obey. This is critical in the process of planning the advisory project.

All major clients mentioned above express their demand for advice in different forms.

- ✓ **Parliament:** *Advisory projects for parliament usually concern the work of special or standing commissions and specialised working groups that the Parliament forms in order to deal with complex legislation. The legislation in question may originate in parliament, in which case the advising project is likely to include some research, hearings and negotiations with social groups, and possibly drafting legislation. Or the legislation may have come from the government, in which case the advisory work is normally more limited to provision of expertise on technical questions.*
- ✓ **Public Administration Institutions:** *Most work for advisors in public administration is found within these institutions. It is these institutions that are responsible for developing policy, identifying options, assessing costs and benefits, preparing draft legislation, and evaluating outcome after implementation. Most of the assistance that international donors provide for public administration reforms is focused on these institutions. Needless to say, the Minister responsible, or even the government as a whole, may be directly or indirectly involved in the decision to carry out the advising project. But the actual demand, the formulation of questions, the day-to-day interaction and the role of the intermediary and contact client are performed primarily by public administration institutions. Within the institution, those responsible for the project may be line managers (e.g., heads of departments) or it may be a special working group or task force set up specifically for the task at hand. In that case, it would often include persons from more than one institution.*
- ✓ **Political parties:** *Political parties are not significant consumers of advisory projects. For the most part, when they do use outside advice, it is done on a small scale, and involves direct advice, normally not based on much research. Also, parties tend to consume outside policy advice mostly before elections when they prepare their platforms, and prefer to rely on dedicated volunteers than to pay for advice (they often do not have a big budget for policy development). Outside donors rarely, if ever, knowingly fund party activities. In recent decades, parties have hired more advisors, but often communication and image specialists, not so much policy advisors.*



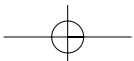
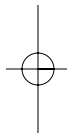
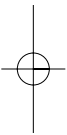
Preparing and Delivering Advice

**Building Relationships with the Client
and Knowing the Client's Environment**

Needs Assessment

The Role and Purpose of Planning

Advising Project Proposal



V. PREPARING AND DELIVERING ADVICE

In this chapter we discuss conditions that influence the work performed by the advisor and present the key elements of the procedure of preparation and delivery of advice. Preparation of advice requires certain steps that are stages of the advising project. The initial stage is when contacts between the advisor and the client are established and the decision to work together is made. The advisor should then develop an understanding of what the client needs from the advisor. To do this the advisor should build a good working relationship with the client and understand the environment in which the client operates. Once the advisor has collected enough information about the client's situation and needs, a proposal can be prepared and presented to the client. The proposal serves as a statement by the advisor to the client of what the project will achieve. It contains an action plan with specific steps described: the type of research to be carried out, data collection, interviews, scheduled presentations, reports - their format and content, types of deliverables.

V.1. BUILDING RELATIONSHIPS WITH THE CLIENT AND KNOWING THE CLIENT'S ENVIRONMENT

To perform his/her tasks the advisor should always build a solid professional working relationship with the client (even if in his/her work the expert model is used and contacts with the client are limited). There are some ground rules for building good relationships:

- ✓ *The advisor must be sensitive to who is supporting different positions in the institutions he works for*
- ✓ *The advisor must recognise who will benefit and who will lose from the different options under discussion*
- ✓ *The advisor must make sure the objectives of the advising exercise are clear for the client*
- ✓ *The advisor must present his findings and recommendations and discuss them with the client and be honest with the client about the strengths and weaknesses of his or her argument*
- ✓ *The advisor should introduce and explore options which reconcile different positions in a win-win way*
- ✓ *The advisor, if placed in a position where professional integrity might be threatened, should remind the client that the loss of impartiality and credibility defeats the point of using an independent advisor.*

Building relationships with the client is a part of the advising exercise It should be incorporated into the advisor's own policy leading him/her to accomplishment of the assignment. In order to establish a solid professional relationship with the client, it is important to ensure that the client understands

the distinction between the goals, objectives and expected outcomes of the advising project.

Appropriate and well-defined goals, objectives and outcomes are the cornerstone of effective project management and of advisor-client relations. It is equally important for good relations to make the above distinction between the role of different types of clients, the need to understand the institution receiving the advice, and the hierarchy within it. If relationships between the advisor and the client are properly set, the client is more open and eager to get engaged in conscious action that becomes an element of the advising process. The client also becomes more creative in terms of providing valuable details while defining the problems to be addressed and desired solutions.

When the outside advisor comes to the institution/organisation he or she enters a new environment in which the client operates and which will be the environment where co-operation between the client and the advisor takes place. Government agencies are a very new environment for advisors from universities. The pace of work and relationships among employees differ from that advisors know from their home institutions. The environment is not only new but also difficult - advisors may be seen as intruders who understand nothing but are still paid for their work.

Additionally, the intruders ask questions, want to see documents, ask for meetings and for something to be done solely for them. Advisors disrupt office routines. If the advising activities are not managed effectively advisors' involvement can raise suspicion. The environment that the client operates in is shaped by the organisational culture of the client's institution with which the advisor must be familiar and to which he/she must be sensitive.

The important thing for advisors is to first identify the dominating culture in the institution for which they work. If the culture is identified and its characteristics well known to the advisor, he/she can more easily adjust to the environment. Knowing the organisational culture the advisor will know who dominates the institution and where the sources of authority in this institution are. The culture of the institution has a crucial impact on the division of roles, powers, and responsibilities. In this way it influences issues related to formal structures and procedures.

GUIDELINES FOR ETHICAL CONDUCT

The associations uniting evaluators have developed their own codes of ethics and guidelines for ethical conduct. For instance the American Evaluation Association has developed a document labelled "Guiding Principles for Evaluators", which include the following five main principles:

1. "Systematic Inquiry: Evaluators conduct systematic, data-based inquiries about whatever is being evaluated.
2. Competence: Evaluators provide competent performance to stakeholders.
3. Integrity/Honesty: Evaluators ensure the honesty and integrity of the entire evaluation process.
4. Respect for People: Evaluators respect the security, dignity and self-worth of the respondents, program participants, clients, and other stakeholders with whom they interact.
5. Responsibilities for General and Public Welfare: Evaluators articulate and take into account the diversity of interests and values that may be related to the general and public welfare.

The advisor must remember and recognise that the "government in action environment" is a very difficult environment. This is due to the specific organisational culture and the stress and tension that is constantly present there. The biggest problem is time constraints. Decisions cannot wait and decision-makers are not patient listening to long stories. Deadlines are challenging and expectations high. The advisor should acknowledge all this. He or she has to remember that there is a very specific timeframe for delivering advice. This timeframe is determined by the policy cycle (the advisor has to identify the entry point of his/her advice to influence the policy making process) and needs expressed by the client. Delayed delivery of the product/advice makes the advice in many cases useless.

To be ready promptly with the advice is not the only problem advisors may face. The difficult "government in action environment" may have a very distracting influence on the implementation of the advising project. It is very difficult to anticipate all potential problems that the advisor can face, but the most common situations in which the conditions of project implementation change are:

- ✓ *when the client suddenly changes its interests*
- ✓ *when the client's situation changes rapidly and the client is no longer a client*
- ✓ *when the client cuts expenditures and there are no funds for the project*

To avoid problems and anticipate possible barriers to project implementation, the advisor should monitor changes on the political scene.

- ✓ *What is the date of the next elections?*
- ✓ *What parties/political groups are likely to be in the new government?*
- ✓ *What new development plans are being prepared by other government agencies?*

The advisor should be very sensitive to these issues in order to minimise the risk of the advising project and the consequences of changes that were not anticipated when the project was started. The advisor should have several action plans and implement them when necessary. Regardless of ongoing changes the advisor is supposed to deliver his product. The advisor has made some investments and should also remember his/her own interests and objectives. In the event of unexpected changes the advisor should refer back to the defined goals and objectives and think about how to reach them in the new conditions.

Many events will affect the tasks of the project. They only matter if they affect the main goal. The advisor should check whether the profile of tasks could be changed to achieve the main goal of the project. It should also be checked whether they can be renegotiated with the client and if new conditions can be set up for the implementation of the project. Then an evaluation of resource implications should be made and the impact of this change should be considered. If the resources are financial, changes in the budget should be considered. Some activities must be dropped. Finally, modification of work plans should be made after consideration of the effect of the new conditions. Important parts of the client's environment are other players who may have interests in the results of work performed by the advisor. The advisor should have them identified, their goals defined and their impact on the project implementation analysed. It might be possible that other players are part of the history of the issues the advisor deals with. It might be worth exploring their role in the past and what was done to address the issue. Lessons from the issue history can be very instructive.

V.2. NEEDS ASSESSMENT

A good advising project should be based on solid understanding of the needs of the client. The needs of the clients, as was mentioned earlier, are often expressed vaguely or only generally. The advisor has to know precisely what the client's needs are, both those expressed and unexpressed. The needs assessment is one of the crucial first steps of the advising project. It is useful if the needs assessment can be done before the proposal is prepared. However, where this is not possible, it should be included in the Terms of Reference (ToR) as an early phase, after which revision of the ToR can still take into account the results of the needs assessment.

Clients communicate needs in different ways. Sometimes clients issue ToR requesting specific services. These services should be offered by an advisor in the form of a proposal (formal or informal - depending on types of contacts with the client and channels of communication). The proposal includes the scope of work for the advisor, specific activities and deliverables. If the proposal is approved and both sides sign a contract then the proposal becomes the ToR and appendix to the contract.

Even if the client comes to the advisor with a well-defined problem, it does not mean that the needs assessment can be skipped. The advisor must look very carefully at the selected problem and at the procedure used to identify the problem. For the advisor, the information about who was responsible for selection of the problem would also be of great value. During the needs assessment, the advisor may identify other issues that are equally important for the systemic solution of the problem. What one group selected as a problem might be seen by another one as something not even worth mentioning. Problem finding should be linked closely with opportunity finding. Problem solving suggests something is wrong that needs to be fixed. Finding opportunities and taking advantage of them is much more positive. Tapping opportunities may be more stimulating and more productive in the advisor's contacts with the client.

One of the most common issues in the identification of problems is the tendency to regard symptoms of problems as the real problems. It is obvious that solving symptoms leaves the real problem unsolved. During the needs assessment the advisor must examine the situation very carefully not to confuse problems with their symptoms. Another issue in the identification of the problem is the tendency to identify a solution to the problem as the problem.

Clients usually think they know their needs and that needs assessment is just a waste of time and money It is not and the advisor has to make sure that he/she has enough time and resources to conduct the needs' assessment. The advisor should insist on having the needs' assessment written down in the scope of work and work plan.

Why is needs assessment so important?

- ✓ *The needs' assessment provides the advisor with an argument for what is achievable and what is not, when in discussions with the client.*
- ✓ *It helps make the client's expectations realistic.*
- ✓ *Needs assessment also helps better understanding of the institution the advisor will be affiliated with how the role of the advisor is envisaged by the client.*

However, it is important not to rush the needs' assessment. It should be carried out according to plan and the advisor must be sure that on completion of the needs' assessment he/she knows precisely what is expected from him/her. If necessary, the advisor should spend extra time with the client, use informal consultations, discuss issues with members of the team from the client's office, organise a meeting, and try to work with internal advisors.

If the client prepared Terms of Reference, needs assessment results should be compared with statements from the ToR. However, the advisor should always remember that not everything is included in the ToR. There is nothing in the ToR about the hidden interests of different groups of people or about political and other types of restrictions. **When the needs' assessment is completed and the real problem is identified, the expectations of the client should be clarified.** This clarification may take the form of a written document that summarises the findings of the needs assessment, of a presentation by the advisor and discussion with those who participated in the needs assessment process and those who are interested in the final product delivered by the advisor. The written document that will serve as a basis for clarification of the client's needs might be a preliminary analysis that is also used to refine goals and objectives suggested by the client. The preliminary analysis, after the client and the advisor approve its results, may serve as a basis for an advising project proposal. The proposal will reflect the advisor's attitude to what can be achieved by the advising exercise.

V.3. THE ROLE AND PURPOSE OF PLANNING

Planning is a process that varies greatly in both its formality and complexity. It might involve the planning of the actual advising project but also the planning of specific tasks within the project itself. Presenting the final report will also require planning. Even a relatively simple task needs planning because every task requires time and different types of input. It is a must to plan relevant time and input. Planning aids project management.

The advisor has to have a detailed and up-to-date schedule of tasks to be undertaken. This requires an understanding of how activities support each other and depend on each other. Once this schedule is in place it provides a series of benchmarks against which the delivery of the project can be monitored. These benchmarks show what different parties involved in the advising project must do and by when. The plan also serves as a log of activities - record of all operations to be performed by the advisor and his/her partners.

Planning is an exercise that should be performed by the advisor. **However, the client's involvement is essential to ensure the plan is realistic.** The plan is not ready when its first version is prepared. It will need adjustments and amendments depending on the client's feedback. The preliminary analysis will contribute a lot to the advisor's approach to planning. At every stage of the advising process the advisor will have something to offer. It is concerned with deciding what moves to make in the future to achieve the goal.

Thus, planning is:

- ✓ *a tool used to set a framework for the project*
- ✓ *a tool to set a sequence of activities to be undertaken under the project*
- ✓ *a tool to keep control over and monitor project implementation*
- ✓ *a tool to develop a relationship with the client.*

The results of planning should be periodically revised and amended if new developments occur. Planning should cover a broad range of issues related directly to the design, development and implementation of the project, which was discussed in the preceding chapters. In the following sections of this chapter these issues will be listed and summarised in the context of the planning process.

V.4. ADVISING PROJECT PROPOSAL

The advising project proposal represents the advisor's statement of what he or she can achieve on behalf of the client. The proposal defines what the client will be paying for.

The proposal provides a concise and efficient means of communicating the objectives of the project to the client, guides analysis and ensures investment in information is gathered at an appropriate level and provides a fixed point of reference whenever there is a feeling the project is drifting away, and can be used to manage the expectations of the client. The proposal also gives the advising team a common focus when differentiating tasks and organising the project delivery when the advisor works in a team.

If properly written and presented, the proposal keeps the client's aims realistic and prevents expected outcomes from becoming unrealistic. The project proposal should be a straightforward document. It has the following three aims – **a) to state what the advising exercise aims to achieve, b) to communicate to the client what resources are needed to achieve goals and how much the advisor's services will cost, c) to commit the client to it.**

The proposal should present what the advisor has to offer in a positive light. It has to make the advisor's offer appear an attractive investment. If the advisor's pitch is a competitive one, the proposal has to present the advisor as the best available. The proposal is to manage the client's expectations. An individual's satisfaction with a product or service is not usually based on the absolute utility of what he or she receives. More often it is based on outcomes relative to expectations. If expectations are met or exceeded, satisfaction will occur.

The advisor cannot rely on having an opportunity to explain the proposal in person. There are some key elements which, when included in the proposal, do add to its impact and help it communicate effectively.

These key elements are:

- ✓ **Client requirements** - *this should be a brief statement about the institution/organisation, its mission, goals and activities. The background statement should aim to convey the fact that the advisor understands the key issue or issues and is committed to addressing them*
- ✓ **Goal of the project** - *this is a statement of what the project aims to achieve. This might be thought of as the project mission, from which definite objectives might be drawn*
- ✓ **Objectives** - *a list of the detailed objectives of the project. Objectives should be active; they are statements of what the project will do.*
- ✓ **Outcomes** - *statements of what is going to happen to the institution/organisation or to the functions and activities the institution performs.*
- ✓ **Time plan** - *the time plan is an indication of when the outcomes of the exercise will be delivered and identifies important milestones. Milestones are key events along the way to the final delivery and might include things like meetings with the client and information providers, interim reports and presentations. The amount of detail in the time plan will reflect the length and complexity of the project.*
- ✓ **Costing** - *a statement of how much the project will cost the client. Important elements are the advisor's fees and expenses.*

After the client approves the proposal the advising project can be initiated. For practical purposes it might be necessary to prepare a more detailed plan of action (work plan) with specific steps to be undertaken.

V.4.a. DEFINING GOALS

The proposal must contain clearly defined goals. Goals to be achieved might be defined in the ToR issued by the client. But they may evolve after the completion of the needs assessment process. Initial contacts between the client and advisor might be very helpful in defining goals. Also building good working relationships with the client from the very beginning may facilitate the process of identifying problems and defining goals. **The advising project is generally defined in terms of its goals and objectives.** The process of defining the goals and objectives must be communicated back to the client through different channels, including formal and informal meetings and briefings. The purpose of a briefing is not only to verify the advisor's findings and conclusions, but also to sell services and prove the advising project is really needed. It is critically important that project goals are both unambiguous and understood by the client and advisor. What makes the client satisfied with the product the advisor delivers is not so much the outputs, but the outputs relative to expectations. A good advising exercise will still disappoint if the client's initial expectations were too high. This can be very frustrating for the advisor, especially when the outputs delivered are, on their own terms, good.

V.4.b. OBTAINING INFORMATION

Information is needed to understand the issues the organisation faces and its capabilities to resolve these issues. Information gathering is an on-going activity during the life of the project. The need for information must always be challenged in relation to its cost and the objectives of the project. Information comes from different sources: the client, other institutions that have contacts with the client, statistical offices, research projects conducted prior to the advisor's involvement, reviews of internal documents and reports, interviews and meetings with people. **Information for a practically oriented project is often selected in a different way than that for academic research.** The advisor should not feel offended by the quality of data and information available. Sometimes specific and very necessary information is just not available and the advisor must be creative, squeezing as much as possible from what is available.

Some information from the client might be confidential. The use of this information can be somehow restricted. Even if the information is made available to the advisor he/she must remember to observe professional ethics and use the information only for the purpose of the project. The question of confidentiality is regulated sometimes by the client's internal procedures, which the advisor is obliged to obey.

Information collection should always be guided by the task to be performed by the advisor. Sometimes tasks are very complicated. For the sake of collecting information they should be broken down. Then they can be treated as a series of activities. And for this series of activities information will be collected.

It helps to look critically at information available and collect only that which is really needed - more information does not mean more knowledge and understanding. While collecting information the advisor should think about the problem and methods to be used for analysis. Information is associated with a direct cost when it has to be bought from agencies that collect information or from researchers that produce information. If there is no direct cost there may be a hidden cost of people's time and effort needed to gather information. This should be taken into account by the advisor while thinking about obtaining information.

V.4.c. SECURING RESOURCES

Once the goals and objectives have been agreed the project must move towards delivering the desired outcomes. Progression means defining and undertaking specific tasks and managing the resources - financial, human, information and time - involved in the project.

The advisor has to cost the advising project and prepare a budget. How much time and who from the client side will be needed to assist the advisor must also be defined. The advisor may need the support of specialists in other fields - other advisors. Their levels of effort should be decided and their costs estimated precisely. The same concerns information that the advisor needs.

Time is the most difficult part of project costs to estimate. Advisors have their daily rates or they enter into fixed-price contracts. In this case the situation is clear. But people who work for the client and are needed to provide assistance to the advisor are full-time employees and they will co-operate with the advisor during their regular working hours. The advisor has to make sure that the supervisor of the people assisting him/her can devote a certain period of time to the advising project itself. Their input will be presented and will serve as an argument to be used when these people have to be mobilised by the advisor.

V.4.d. CHOOSING METHODS OF ANALYSIS

The techniques and methods have to be output-oriented and chosen relevantly. It means **that they have to serve the purposes of the advising exercise**. It should also be emphasised here that the techniques and methods should support

an unbiased and objective approach to the problem. Advisors do not have to avoid the presentation of value judgements. However, these judgements always have to be presented with reference to a broader context of policy making and its results.

It should be remembered that every analysis takes a certain amount of time and efforts. If several methods have to be used, some co-ordination will be necessary. It should be also noted that analysis does not occur in isolation from information gathering. **Information prompts analysis and analysis highlights information gaps.** These gaps may force the advisor to look for additional information. It may significantly influence the plan of activities.

V.4.e. CHOOSING FORMS OF DELIVERABLES

Deliverables must be presented to the client in the most appropriate form so the advisor knows for sure that the message will be conveyed to the recipient. The way the result of the advising project is presented (format and content - how much information the advisor wants to present to the client) sometimes determines its success.

The benefits of the advising project are delivered over time, especially if a co-operative model of advising is used. However, the client will see the final communication of the results of the advising project as an important event. This is often seen as the delivery of the actual advising "product" - the tangible item the client has actually paid for.

Advice prepared for the client influences the effectiveness of the client's decisions in that it has an impact on the quality of the decision, and its acceptance by those who either have to execute it, or will be affected by it.

To ensure that the deliverable – advice - has a positive effect on the quality and acceptance of decisions, the advisor should look at the deliverable from the perspective of the decision to be made.

Will the decision made based on the advisor's advice achieve the goal (or solve the problem) to the client's satisfaction? Are there resources to carry out the decision? Is the timing right? Is it feasible to implement the decision? Is the decision adequate to achieve the client's goal?



V.4.e.1. TYPES OF DELIVERABLES

Written deliverables:

All written deliverables must be of high quality and look professional. They must be free of spelling and grammatical errors. The language used should be adequate to selling ideas, appropriate for the client and strike the right tone. **Written deliverables do not have to be supported by additional presentations but must motivate the client to implement the recommendations.**

Written deliverables need not to be boring. They should have an interesting and attracting layout. Whenever possible information should be presented in forms of diagrams and charts - they aid communication. It must be clear for the reader of a written deliverable that the original objectives have been met and the stated outcomes achieved.

Written deliverables presented by advisors take different forms, depending on the assignment. The most important thing is to ensure that the final deliverable corresponds to the agreement (contractual or other) between the advisor and the client. Most contracts specify exactly what should be delivered, sometimes in great detail, including even the length and format of the report. It is important to review the deliverable before sending it to the client to make sure it meets all requirements. Where possible, and where the client agrees, it is useful to first submit the deliverable in draft form, and ask the client for comments by a given date, before finalising. This achieves two important aims: it helps ensure that the output is useful to the client, and it gets client "buy in" for the results. After commenting on a draft, it is difficult for the client to say that the final output does not respond to the contract.

There are various types of written deliverables, the most common of which are:

a) Reports from advising projects

Reports are the most common deliverables, and tend to cover the whole advising project, including the background for the project (why it was done), the objectives of the project, research that was conducted, findings from the research, analysis, conclusions and recommendations. Reports normally have a significant descriptive section to give the client all important information and arguments in support of the conclusions. Reports often contain information that is already known to the client but that might be needed to convince others in the organisation of the validity of the advice.

There is no fixed format for reports, but they normally include the following:

- ✓ *Executive summary: highlights of the main points, usually 1 or 2 pages long. This is written at when the report is completed.*
- ✓ *Description of the background for the project, the environment, and the problems it is addressing.*
- ✓ *Report on any research carried out, data collected, interviews conducted, etc., and on the methodology used (if any), such as sampling techniques.*
- ✓ *Description of the findings and analysis, showing their relevance to the initial problems the project is trying to solve.*
- ✓ *Conclusions showing specifically what, in the advisor's opinion, are the relevance of the findings and analysis to the initial problems, and how the findings can be used to understand and resolve these problems.*
- ✓ *Recommendations derived from the conclusions. The recommendations may be shown as "options for solution" rather than definite solutions. If options are shown in the recommendations' section, each should be supported with pros and cons, advantages and disadvantages. For example, one option may have the advantage of being cheaper to implement, and the disadvantage of taking a long time, or of being less certain to have a sufficient impact on the problem.*

b) Policy paper

A policy paper produced for the client normally means that the client is planning to introduce a new policy, possibly through legislation, but that there is a need to convince others, inside and/or outside the government of the importance of doing so. **A policy paper is, therefore, a communication document, aimed at explaining but also at convincing.** While it may explore options and approaches, it seeks to convince others of the need to act, and to point them (perhaps in a subtle way) towards the preferred solution. **A policy paper, therefore, is shorter and more concise than a normal report.** It includes essentially the same elements as a report (see above), but less attention in it is given to reporting research and analysis, and more to the need to solve the problem, and to **options for solution**. Very often, the policy paper is written after having a detailed report that serves as a background.

In some countries (such as the UK and Canada), there is a tradition of publishing "Green" or "White" Papers. These are typical policy papers that the government is making public in order to generate public debate prior to introducing a major policy reform. It is possible to obtain copies of such papers from the websites of these governments.

c) Draft legislation

Advisors, especially advisors with legal education, are often hired to draft legislation. In this case, the written deliverable is a draft law which the government would seek to approve and present to parliament, or the direct client may even be parliament itself. The preparation of the draft might be simpler or more complex, depending on whether there is already agreement on the content of the legislation, or the advisor needs to determine this himself or through consultations. But in terms of a deliverable, it is simple: **the draft should follow the legal conventions of the country in terms of structures, paragraphs, etc., and should use the current rules for legal drafting.** Where the advisor feels that issues remain to be resolved before the draft can be presented for passage, he may append a short note or brief report to bring the issues to the client.

Provision of comments on draft legislation prepared by others is a related task. It is a good practice for institutions drafting legislation to circulate a draft to a small number of experts who are asked to provide comments and/or propose additions and amendments. To be most valuable to the client, the comments should follow the structure of the draft, and the experts should make comments paragraph by paragraph, including actual suggestions for re-drafting. **If the advisor sees more fundamental problems with the draft, he should append a separate, well-argued note to explain the problem as he sees it.**

Advisors should remember that when governments or parliaments circulate drafts for comments, they normally believe that it is essentially finished and needs only some polishing. The draft may have been prepared by a group of advisors or by an important law professor. Therefore, before questioning a draft received for comments in a fundamental way, it is useful to engage in a bit of research on the background and status of the draft. Of course, the advisor retains his moral responsibility and right to make the comments as he sees them from his professional perspective. But commenting on drafts is a delicate matter, albeit a very important function of advisors.

d) Background study

In terms of deliverables, this is **really a type of report, perhaps more similar to a report on academic research.** Such studies do not usually present recommendations. Rather, the focus is more on the pure research elements, the data and analysis. Government clients usually carry out background studies as a first phase in the policy development cycle, when they identify problems rather than develop solutions. This type of study is also common as a background for developing broad strategies. For example, such studies might then look at demographic trends in the population or at social security in a comparative context.

e) Implementation methodology/action plan

This type of deliverable either stands alone or is the last part of a normal report. However, it is quite difficult to develop an implementation plan before it is clear what recommendations the client intends to implement, or what options he/she might choose. Therefore, if the contract requires an implementation plan to be delivered, it is normally necessary to first engage the client in decision-making on what exactly needs to be implemented.

An implementation plan normally includes the following elements per each chosen recommendation (sometimes in a table format):

- ✓ *Who should be responsible for implementation (e.g., existing Ministry or agency, new institution, a combination of Ministries) - Time frame (immediate, over a number of months or years, after recommendation x,y, or z are implemented)*
- ✓ *Cost and possible source of funding (e.g. from savings on another recommendation, from internal budget of institution, from Ministry of Finance)*
- ✓ *Personnel needs or savings, and possibly specifically what positions need to be added or eliminated*
- ✓ *Training needs, for existing or new personnel, who should be trained, in what skills, by what methods*
- ✓ *Legal requirements: does the recommendation require a change in law or regulation, which law, etc. In some cases, the draft paragraph needed for implementation is included.*
- ✓ *A monitoring mechanism: what approach should be taken to verify implementation, e.g., a report to government or parliament after a certain period, a steering group reporting to head of institution, etc.*

Oral deliverables:



Oral deliverables from advising projects are often required in addition to written deliverables, rather than as a substitute. Their purpose may be to present the findings at the end of, or during, the process in order to get reactions and suggestions, or it may be to help the client "sell" the recommendation to others within the institution or to outside groups that might be affected.

Oral deliverables might be quite informal, taking the form of presentations to a working group or task force. An advisor working on a project might be asked, at any point, to make such presentations, or they may be specifically part of the

contract. On the other hand, there are cases where there is a working group or task force and an academic is asked, on a short-term assignment, to make a presentation to the group on a given topic without being a member of this working group.

There is not much that can be said in general about such presentations, except to note that they should be well prepared. Advisors asked to make such presentations on an ad hoc basis should remember to include preparation time in their request for payment. It is also important to remember that these are not lectures in the normal sense, but directed presentations, aimed at achieving a larger purpose within a project. The advisor should ascertain before the presentation if its purpose is to convey information, to convince people of a certain approach, or merely to facilitate discussion. He or she should also clarify who the audience are, their degree of familiarity with the topic, and their expectations from the event. It is normally expected that presentations, even informal ones, would be supported with written material and technical aids (slides, power point, etc.).

Events:



a) conferences and debates

These two types of events can be treated as **a type of oral deliverables** This is because in the case of advising projects, conferences and debates are organised as additional events to present reports and convey messages to recipients and others that might be interested in the results of the advisor's work, findings, and recommendations. Conferences and debates organised to present results of advising projects have to be short and very disciplined. What differentiates conferences and debates from other oral deliverables is that conferences and debates are more formal ways of oral presentation. This is like incorporating a regular oral deliverable into a more formal setting. In this case the presentation should be structured accordingly.

b) training

This type of deliverable is very complex. The training may serve several purposes, including:

- ✓ *to explain issues and problems through delivering information and knowledge on specific issues*
- ✓ *to contribute to professional development of public administration staff through introduction of new concepts and ideas*
- ✓ *to strengthen public administration institutions through development, training workshops and original projects of institutional strengthening*

- ✓ *to identify the strengths and weaknesses of the organisation and to find solutions to identified problems*
- ✓ *to develop the human resources of a specific organisation by improving the skills of its employees.*

The training may take different forms in terms of time and methodology depending upon the topic. Sometimes one or two-day training is enough to convey the message the advisor has for his/her audience. However, if the trainees are supposed to take a proactive role in the training process and prepare some materials or participate in some exercises, more time is needed and the training is organised in the form of repeated sessions. Training methodology also depends on the topic and purpose of the training. Participants can just sit and listen but sometimes their proactive involvement is required. Interactive methods should then be used and the trainer must remember that the biggest mistake is to turn the workshop into a lecture.

V.4.f. BUILDING SCHEDULE

The time in which the advisor has to prepare and implement the project and then deliver the product is crucial for the final success of the advising exercise. In order to prepare a realistic schedule of an advising project, it is necessary to have knowledge of the issue to be addressed and information on the conditions in which the project will be implemented **Not everything can be predicted but there are routine time-consuming activities that should be considered while working on the schedule of the advising project** Among things that should be considered while working on the schedule are preparatory activities (meetings with the client, preparation of preliminary assessment), collecting information and data and performing an analysis, reviewing prepared interim reports or other deliverables - results of the work performed – and typing, editing, and preparing graphics.

Preparing the schedule of activities is very important. It always seems that there is enough time to perform the task but deadlines approach much faster than advisors would wish. The client may want to see some progress and by preparing the schedule the advisor prepares him/herself for this situation. The absence of efficient time management means things are left to the last minute and the quality of the product is jeopardised. This will not satisfy the client for sure.

The client must be made aware that if his employees are involved in the advising project and they are not available for the advisor when they should be, the whole process will be impeded and the time deliverables will change. **While framing**

activities into a project schedule the advisor should prioritise tasks and prepare the right sequence of actions What should go first? Why should it go first? Sometimes the source of information that is not immediately needed may be about to disappear and the advisor cannot wait to get that information. Some tasks may unexpectedly turn out to be bottlenecked and should be treated as priorities. These priorities may change the project implementation process. **Something that was of low priority may suddenly become very high priority.**

Sometimes advisors find some activities less attractive than others. It is a mistake to leave them aside and move them to the end of the timetable. They will have to be conducted anyway. It is tempting not to do it but it might be dangerous for the project. **Preparing the schedule for the whole project is important for the advisor and the client as well** The client should keep him/herself aware of deadlines - especially if input is expected from the client. The client should be familiar with the schedule of activities and should be made to understand very clearly that without input from the client's side the deadline is not met.

The advisor should maintain contacts with the client. These contacts may be driven by the need to keep the client informed of the progress of the project. It may also be a consequence of the need to obtain further information. Contacts can be maintained through meetings, telephone calls, written and electronic communication. The schedule of the advising project should address the issue of these contacts especially if they take the form of more formal and regular meetings that involve people representing different parties interested in the project. The advisor should remember that whatever the motivation or the means, interacting with the client is an opportunity not just to give and obtain information, but also to build a relationship with the client, which can lead to a more effective project.

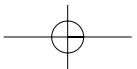
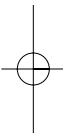
V.4.g. MONITORING AND MANAGEMENT

The advisor is committed to **three things**: a set of agreed products that will be delivered at a specified time within a given budget. Slippage in any one of these can lead to unsatisfactory outcomes for the client, the advisor or both. This is why a management and monitoring system for the project should be adopted.

Monitoring is an activity dedicated to ensuring that the project is progressing in a satisfactory manner. It will involve ensuring that key events are on time and that expenditure is in line with that anticipated. Effective monitoring procedures ensure that if slippage does occur, remedial action can be taken to get the project back on track. A good advisor invests time in keeping a good record of the progress of the project. As a minimum, this will be a file of important documents and notes on communications with the client. It may involve more formal records such as plans and budgets. Keeping records enables progress of the project to be

monitored. The most important fact is that a good set of records allows the advisor to reflect on the project, learn from the experience in an active way and so enhance performance in the future.

A project log may supplement the records system. A project log acts as a permanent record of the advisor's work. It is useful to be able to refer back and identify when something happened, what was undertaken or what was said or agreed at a particular point. The log can be used to store this information as well as to establish how much time was spent on a particular activity undertaken on behalf of the project. This can be useful for planning additional activities related to the project.





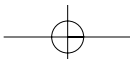
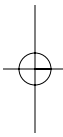
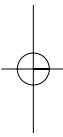
To be a Good Advisor

Characteristic Features of a Good Advisor

Skills of a Good Advisor

Dealing with Challenges

Finding a Place on the Market



VI. TO BE A GOOD ADVISOR

In this chapter we present the characteristics of a good advisor and the skills that he/she should have. The most common challenges faced by advisors are also discussed here.

VI.1. CHARACTERISTIC FEATURES OF A GOOD ADVISOR

A good advisor will have subject-matter knowledge specific to the project, and combine quality analytical project management relationship building skills. He or she will also have a tolerance for ambiguity, a good attitude to clients and a creative approach to tasks.

The advisor should also have the skills of a general manager. Advising is like running a project. Before the project is implemented it has to be marketed and a good advisor knows how to sell the product to the client and manage a relationship with him.

The advisor should possess a set of basic characteristics. These are:

- ✓ *the courage to leave the world of pure science and traditional academic research if the advisor has an academic background*
- ✓ *an understanding of different aspects of advice*
- ✓ *an understanding of the government environment*
- ✓ *an understanding of the policy making process*
- ✓ *an objective evaluation of his/her potential as an advisor*
- ✓ *a knowledge of methods and techniques of research*
- ✓ *an understanding and recognition of advising activities ethics*
- ✓ *an ability to respect the knowledge of other people*

The advisor should feel also comfortable in the following roles:

- ➔ *team co-ordinator*
- ➔ *information gatherer*
- ➔ *information analyser*
- ➔ *report writer*
- ➔ *report presenter*
- ➔ *client contractor*
- ➔ *team councillor*

A good advisor must be aware of his or her different responsibilities: **economic, legal, and moral**. When it comes to economic responsibilities the advisor is supposed to advocate solutions and projects that will not bring financial loss to the client. Solutions recommended by the advisor cannot exceed the client's current and future financial possibilities. If they do, a good advisor will not push the client and will consider very carefully all other options. When it comes to legal responsibilities the advisor should not recommend anything that will violate the law. It might be suggested by the advisor legal regulations be changed because they hinder reforms. However, the current legal order determines options selected by the advisor. Moral responsibilities are not to violate rules, standards, and codes that are not written down but accepted by society or social groups.

In addition, an advisor may have his/her discretionary responsibilities. These responsibilities are those that the advisor decides to take on as part of a personal moral order. Discretionary responsibilities usually relate to a refusal to work in certain projects that bring outcomes not acceptable for the advisor. This may mean that the advisor must turn down valuable projects offered by certain organisations or dealing with certain issues. On the other hand, discretionary values may make an advisor more attractive to certain individuals and organisations.

VI.2. SKILLS OF A GOOD ADVISOR

The advisor has to be prepared to act as an independent, self-supporting, and self-disciplined individual. Even if the advisor is part of a team of advisors working on the same problem, his expertise and professional skills should enable him to monitor his performance as an individual contributing to the specific parts of the project.

A good advisor should possess the following skills:

- ✓ **Ability to identify problems.** *A good advisor can see more problems than the client who called for assistance may have thought of. To make sure that the advisor focuses on the problem, not the symptom, questions must be asked, such as: why is this a problem? Who are the stakeholders in the problem? Who would like to see it solved? Where is it a problem? When is it a problem? How long has it been a problem? What would happen if nothing were done to solve the problem?*
- ✓ **Ability to identify what information is needed in a particular situation.** *Often in an advising process it is not a lack of information that is problematic. Quite the reverse in fact. It is that too much information is available. The advisor always walks a tightrope between not gaining enough information and so providing uninformed advice, and having so much that focused advice is impaired. The information needed to produce useful advice must be distinguished from that which is merely a distraction. The balance will lie in the nature of the advice and the type of information available.*

GETTING THE WORK AND BEING PROFESSIONAL AND ETHICAL

Policy advisors may face challenges to their morale and personal and professional integrity at practically every stage of their advisory project implementation. Frequently a corrupt public official may ask for a percentage of advisor's earnings for approval of his/her candidacy of that particular advisory post. This is especially likely when an advisor is applying for a position with an international project (which usually pay high wages to local experts). Consortiums of teams of researchers may also face a tendering process where the client clearly gives preference to those companies that promise direct benefits to the individuals of institutions involved in the selection of a contractor instead of using objective criteria set for the review of tenders.

Sometimes such a situation may cause frustration and disappointment to the advisors as well as encourage them to start playing by these same corrupt rules in order to get work. Once the advisor has been assigned a specific assignment, a new challenge arises related to the analysis of the situation as well as the various alternatives of the advice. Any advising activity will require the advisor to make judgements on the basis of his/her experiences. At the same time it is the duty of an advisor to analyse and weight the interests and values of the various groups as well as the general public welfare. The advisor should remember that on the one hand his/her advice, if implemented, would have an impact on a whole range of stakeholders; on the other hand, he/she often will be submitted to the same public scrutiny as the client.

- ✓ **Skills to identify what information about the problem is available** - the more information is taken into account, the more confidence there can be in the advice made. A good advisor is active in auditing the information that is available for use in providing advice to the client.
- ✓ **Questioning skills to locate information resources and get information from the client** Questioning is a critical communication skill. Questioning is not only a way to get information (though this is important) it is also a way to build rapport and control the direction of discussions.
- ✓ **Skills to process information.** Information on its own is of little use. It must be processed in order to identify the important relationships within it.
- ✓ **Skills to draw meanings from information and be able to apply it to the problems at hand.**

- ✓ **Skills to analyse the way in which decision-making occurs within the organisation.** *Understanding the possibilities open to the organisation and devising ways in which those possibilities can be exploited is only the first half of the advisor's responsibilities. If the advisor is to offer real value to the organisation then he or she must also help the organisation make those possibilities a reality. Usually an advisor must convince the client that what he or she is suggesting is a real opportunity. To do this an effective advisor must understand decision making in the organisation, and use this knowledge to frame recommendations that fit the organisation*
- ✓ **Skills to present findings and select appropriate forms of presentation**
- ✓ **Skills to communicate ideas sufficiently and precisely** *An advisor brings a special level of expertise to the organisation. He or she must offer something the business cannot offer itself. This may mean that the advisor is working in an area of high technical content. These areas have a language of their own. The advisor must be cautious about using this language directly to the client. After all, the client is not interested in the advisor's knowledge of a technical area, but in his or her ability to use that knowledge in a way that creates value for the client's organisation. The advisor has the most impact when he or she speaks the same language as the client.*
- ✓ **Skills to negotiate objectives and outcomes.** *The advisor and the client do not always agree, initially at least, on what those outcomes should be. The need to negotiate does not necessarily mean there is a conflict between the client and the advisor but is rather a recognition that the advising exercise will work best when both the client and advisor have clear expectations as to the results of the advising exercise and the responsibility of both parties in achieving these results. The advisor must be aware that disappointment in advising (for both client and advisor) is caused more by unclear expectations than poor outcomes.*

THE UNETHICAL ADVISOR

The advisor must always remember that his/her main task is to promote best practice in their public institutions and to help public administration adapt to new developmental challenges. Yet the advisor who joins corrupt officials in their doings or otherwise undermines ethical requirements and self-integrity would not be credible and thus unable to effectively carry out his/her work. For instance, one advisor to the Prime Minister of one post-Soviet state has recently advocated halting education reform. The press soon found out that the wife of the advisor in question works for a secondary school that will be affected by the reform. Besides that, the advisor prepared and submitted a document meant to formalise these changes to the Government meeting while informing some directors of secondary schools that the reform would soon be stopped. All this happened without the knowledge of the Minister of Education. Obviously, such behaviour is highly unethical and inappropriate.

- ✓ **Skills to convince through verbal, written and visual mediums** *Having knowledge, expertise, and good ideas is not enough. Conviction comes from the form of the communication as well as its content. Conviction brings results if ideas are communicated in a manner which is appropriate to the audience; for example if the communication uses the right language, is of the right length and adopts a proper style. This applies to communication in any situation and whether the medium is verbal, visual or written.*
- ✓ **Skills to use information to make a case for a particular course of action.** *Communication of ideas must be backed up with information. This includes both facts and the interpretation of facts. The logic of that interpretation must be clear. Some information will be included in an initial communication while other parts may be kept back as a response to questions and challenges. Knowing when to use particular information, and how to use it to convince, is an important communication skill for the advisor.*
- ✓ **Skills to develop selling strategies.** *Advisors must sell their knowledge and expertise as well as themselves as providers of concepts and ideas.*
- ✓ **Team working skills**

VI.3. DEALING WITH CHALLENGES

The advisor is not working within his or her organisation but in a new environment. The advisor is an outsider, at least at the beginning of the assignment. In some ways this offers advantages - it may allow the advisor to ask questions and make recommendations that "insiders" feel they cannot. The advisor may see things in a different way - he or she might well see opportunities in a fresher, more responsive way. **Because the advisor ultimately leaves the organisation he or she can afford a more dispassionate approach** The advisor will be in a stronger position to advocate difficult courses of action than someone who does not wish to compromise an open-ended and long-term position within the organisation.

The main challenges the advisor faces are:

- ✓ *new environment: the advisor must actively build relationships and create a sense of trust*
- ✓ *different organisational cultures - the advisor has to recognise them and to adjust his/her style to the organisational culture, or attempt to modify it*
- ✓ *being self-supporting and self-starting*
- ✓ *having to market what he/she offers - sell the product to clients and manage a relationship with them*
- ✓ *insufficient information on the problem - the advisor must look for creative ways to generate information to fill the gap*

- ✓ *the client often begins to expect advice on problems that the advisor was not initially expected to provide*
- ✓ *learning government language and cultural codes*
- ✓ *normally working for clients who have their jobs, day-to-day activities and responsibilities. The advisor tends to see only the part of their job that concerns his project. The advisor has to respect that their time for the project might be very limited and that the client may not provide in-depth feedback to the advisor*
- ✓ *presentation of information and questions from the client in a way that minimises their effort in responding*
- ✓ *as an outsider, never knowing the real position of persons within the organisation. Informal power structures may be more important than formal ones. At any time, certain people in the institution may be very close to the highest ranked person (e.g., the Minister), even if their place in the hierarchy does not show this. The advisor should try to discover the real hierarchy, and should be cautious not to assume too much*

CONFIDENTIAL INFORMATION, TRUST, AND ADVISOR SENSITIVITY

Often local experts working as advisors for foreign donor projects find themselves in an impossible position while trying to please both the donor and the beneficiary, and being considered an insider by the project team and government officials. Therefore both groups of people tend to discuss issues and express opinions they expect to remain confidential and in some cases directly request the advisor keep the information to him/herself. Such a situation will require a lot of sensitivity and a good sense of ethics from the advisor in order to maintain the trust and openness of both groups if the advice prepared is to be useful and relevant to the recipient.

The main difficulty here is that there is no code of ethics to help. Advisors do not have a commission, professional association or bar to assess the performance of an advisor and make recommendations or enforce rules of conduct. It is up to advisors themselves to find "the right way". And on the basis of their reputation clients will decide whether the advisor is to be trusted to carry out professional job and behave ethically or not.

An advisor does not know all the motives behind decisions that are taken in an institution. It is best not to call internal decisions into question before it is clear why they were made, either for policy or personal reasons internal to the organisation. He or she never knows precisely what other advice the client is getting from other sources, and who these sources might be. It is wise to attempt at the outset to seek out, and offer to co-operate with, other advisors. But it is not wise to assume that such information will be always fully shared by the client.

VI.4. FINDING A PLACE ON THE MARKET

In order to find a place on the advisors' market it is not enough to know how to behave in a new environment, find information, do practically oriented research and analysis and reach the client with advice. The advisor must possess the skills of a business negotiator.

The advisor should first formalise his/her relationship with the client in the form of a contract. The contract shall reflect precisely what was agreed with the client in terms of the scope of work for the advisor, goals and objectives of the advising project, type of deliverables, timetable - when they should be delivered and honorarium - how much, when and under what conditions the advisor will be paid for his/her work. The advisor should also determine what are the restrictions and limitations imposed by the client that may affect the advisor's work, and the client's obligations to help the advisor to perform his/her tasks.

The advisor must be firm while negotiating the price of his/her services. There is nothing wrong in costing knowledge and experience. Often something that is expensive is seen as more valuable than that delivered free of charge.

If the advisor works without pay, his/her relationship with the client should still be formalised. It is necessary to know what is expected and what should be done. Working without remuneration might be important for the future since it might be the beginning of a longer relationship with the client. If the first contact is successful, the advisor might be asked to perform more work for the client - this time with a negotiated honorarium. The advisor should remember to market his/her services. A curriculum vitae is an important marketing tool. It is a record of achievements and professional career history. Academics are usually proud of what they have written and published and how many conferences they attended. This information is not relevant. The client is usually interested in:

- ✓ *knowing who the person is (professional background - education, how long he/she has been in a specific profession, institutional affiliation)*
- ✓ *what specific skills the advisor possesses*
- ✓ *what experience the advisor has - how many projects of similar type were conducted and with what results*
- ✓ *what was published by the advisor and in what types of publications*
- ✓ *references - who can comment on the work performed by the advisor and the advisor him/herself.*

This information must be included in the CV presented to the client by the advisor. **The CV should be formatted in such a way that the client has no difficulty finding the required information. All information provided in the CV must be accurate.** The client may want to verify some information and the advisor should remember that if he/she gives information, which is not precise, his/her credibility may be jeopardised. **Many organisations (consulting firms, international organisations) have their own formats for their employees or contractors' CVs. If the advisor plans to offer his/her services to or through these organisations, it is necessary to use the standard CV format used by these organisations.**

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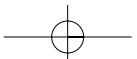
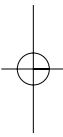
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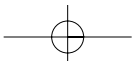
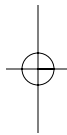
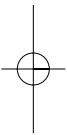
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Appendix

Techniques and Methods of Policy Analysis

Prepared by Katarína Staroňová



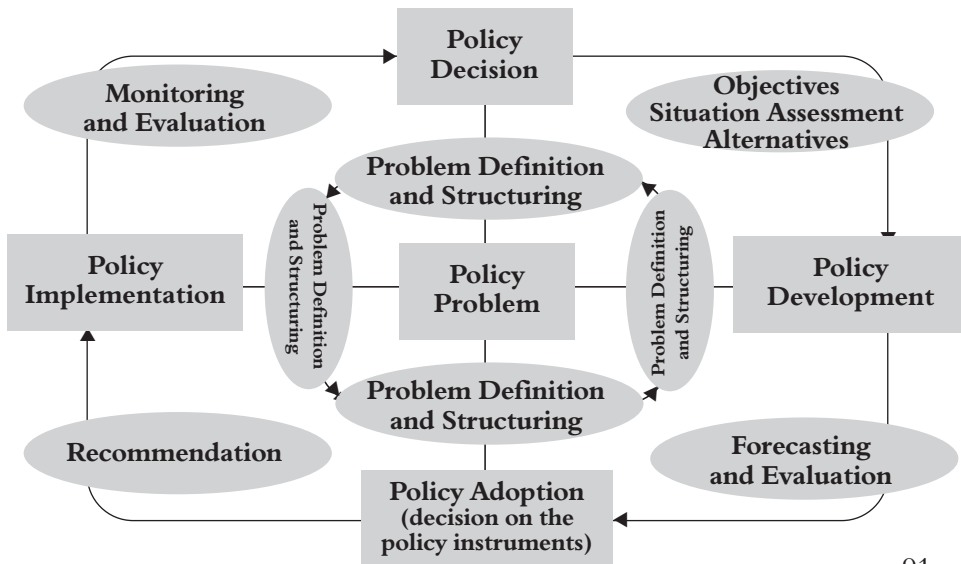
Appendix: Techniques and Methods of Policy Analysis

Prepared by Katarína Staroňová

The methods and techniques presented in this appendix provide a brief overview of applied methods for analysing and resolving policy issues. They have been compiled from other literature and existing policy examples. We could devote an entire book to the development of particular quantitative and qualitative analytical skills or techniques. However, the goal of this appendix is to provide a framework for policy analysis with examples of the most frequently used techniques. No prior knowledge of advanced mathematics or economics is needed. A list of references and useful websites for additional information on techniques used in policy analysis is included.

The interactive nature of policy analysis methods requires an integrated process of inquiry where multiple techniques are used to produce, transform and interpret information as part of reasoned arguments and debates among stakeholders in the policy process. Therefore, the policy analysis methods as identified by the majority of authors (problem structuring, situation assessment, forecasting, evaluation, recommendation, and monitoring) are organised around the steps of a policy cycle (policy decision - agenda setting, policy development, and policy adoption and policy implementation). This highlights the interdependence of policy-analytic methods to different phases of policymaking (See Figure 1). Each method is illustrated by analytical techniques, their advantages and disadvantages, and their possible applications, and an example of their use and interpretation. Nearly all techniques are overlapping and may be used in conjunction with other policy analysis methods.

Figure 1: Policy Analysis, an integrated framework within a policy cycle



Selecting the appropriate techniques to use in policy analysis depends on a variety of factors such as what the client wants to know; the time available, knowledge of the decision criteria, complexity of issue and available data. The use of information is shaped by factors that are political, organisational and social, and not those that are merely methodological or technical in nature.

Definition of Policy Analysis

Different authors use different definitions for the term “policy analysis”, however, they all agree on common characteristics: policy analysis is an applied discipline; it uses systematic approach and multiple methods of inquiry; it investigates alternative options; it attempts to understand socio-technical issues in order to resolve public problems.

Thus, a good policy analysis integrates quantitative and qualitative information that can be utilised in political settings, approaches the problem from various perspectives, and uses appropriate methods to test the feasibility and evaluate the possible consequences of proposed options. Policy analysis is more than the technical tools used to help inform decision-makers. It also guides the selection and use of methods and tools, recognises the goals and values of the client, affected individuals, citizen groups, and provides a clear explanation of the issue being debated. It also involves explicitly stating the criteria that will be used to evaluate possible policies, the means for generating and evaluating alternative policies, specific ways to implement these policies, and assessment of the analysis results.

Policy Analysis vs. Researched Analysis

The process of policy analysis is much more complex, in some respects, than that of researched analysis. Researched analysis is well codified; there are routine steps of exploration and accepted standards of scientific behaviour. On the other hand, the most compelling feature of policy analysis is whether the consumer understands it, is able to follow its logic, and as a result is able to formulate better policy. This means there is interplay between the basic analytical processes themselves, the process for interacting with clients, and the communication tools used to convey the results of analysis. Success is measured by the quality of public debate and the efficacy of the policy adopted. Therefore, policy analysis must be responsive to the policy problem. Policy analysis techniques and methods are systemic procedures for attacking specific problems with specific purposes. They include both policy and research methods. Methods must be selected on the basis of their ability to attack the client's problem in the time available.

Table 2: *Researched Analysis vs. Policy Analysis*

Researched Analysis	Policy Analysis
<i>Major Objective</i>	
Construction of theories for understanding society Goal = Understanding	Prediction of impacts of changes in "variables" that can be altered by the government Goal = Change
<i>Client</i>	
An unspecified client: "the public interest", "truth" as defined by the disciplines	A particular client, a specific or collective decision maker (actors in the policy arena) Need for constant communication
<i>Common Style</i>	
Rigorous methodology to construct and test theories; often retrospective Mode = explanation	Application of formal methodology to policy relevant questions; prediction of consequences Mode = evaluation
<i>Method</i>	
Using scientific methodologies to describe phenomena and/or determine relationships among them	Synthesizing information to draw from it policy alternatives and preferences stated in comparable, predicted quantitative and qualitative terms as a basis for policy decisions
<i>Subject of Analysis</i>	
A subject-oriented, as opposed to a problem oriented scope (e.g. the transportation system) vs.	An issue or problem orientation (e.g. congestion of the downtown loop)
<i>Data Gathering</i>	
Extensive inventory phase, usually for gathering data on various aspects of the studied subject (demographics, economic characteristics, infrastructure, environment, etc.)	Inventory or search phase, limited in scope and directed at a particular issue, data are often taken from the researched analysis
<i>Alternatives</i>	
A search for alternative solutions, which may be exhaustive, but significant alternatives are eliminated before presentation to the client (public)	A constrained search for alternatives, which are then usually evaluated and displayed to the client
<i>Time Constraints</i>	
a rather long time horizon	A time horizon often compromised by terms of elected officials and uncertainty
<i>Budget Constraints</i>	
Rarely external budget constraints	Utilization of available resources (own and offered by the client)
<i>Product</i>	
a plan, study	Concept, position/policy paper, communication strategy or draft legislation to be delivered to the client in a proper format
<i>General Weakness</i>	
Often irrelevant to information needs of decision makers	Difficulty in translating findings into government action

Typology

- a) **Ex ante** analysis (prospective, anticipatory) involves the production and transformation of information before policy actions are initiated and implemented. This analysis tends to follow the operating styles of economists, systems analysts and operations researchers. Prior to the implementation of policies this analysis can be subdivided into predictive (projection of future states resulting from adopting particular alternatives) and prescriptive (analysis which recommends actions because they will bring about a particular result).
- b) **Ex post** analysis (after-the-fact analysis) is confined to the production and transformation of information after policy actions have been taken. To a large extent it uses researched analysis methods. It can be further broken down into retrospective (description and interpretation of past policies) and evaluative (an analysis of program evaluation) analyses.
- c) **Integrated Policy** analysis. Analysts link the ex ante and ex post phases of inquiry and continuously produce and transform information over time. The analyst may initiate the analysis at any point in the analytic cycle.

1. Problem Definition and Structuring

Practitioners and academics cite problem definition and problem structuring as the most difficult, yet most essential step in policy analysis, arguing that choosing the right problem definition has crucial implications for policy. According to W. Dunn, policy analysts more often fail because they solve the wrong problem than because they get the wrong solution to the right problem.¹ Problem statements set the analytic agenda. Problems must be verified, defined, and reformulated at each stage of policy analysis.

The aim at this stage is to frame the problems in concrete terms and develop a statement that gives the client a firm understanding of the problem's technical and political dimensions and allows the analyst to devise alternatives to that problem. Since problems are related to values, problem definition will include normative statements. The general steps in the problem-definition process are as follows: a) verify the initial problem statement b) reduce the problem to its essentials c) define the problem from the perspective of interested parties d) identify potential winners and losers e) conduct a first approximation analysis.² Although the basic methods used during this stage have distinct aims such as providing an estimate of

¹ William N. Dunn, *Public Policy Analysis: An Introduction* (Englewood Cliffs, NJ:Prentice Hall, Inc., 1994), p. 182.

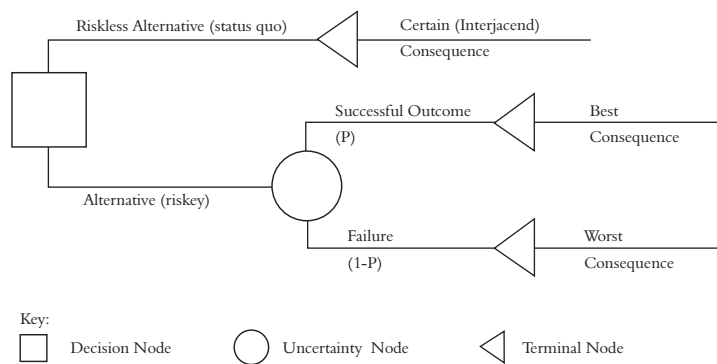
² Carl V. Patton, *Basic Methods of Policy Analysis and Planning* (Englewood Cliffs, NJ Prentice Hall, Inc., 1986), p. 107.

the size and structure of the problem, identification of key attributes, quantifiable and non-quantifiable factors, and needed analyses, they are all designed to reduce the probability of fatal error – a formulation of the wrong substantive or formal representation of a problem.

Quick decision technique (simple decision trees)

Most public policy issues are complex and interdependent. Decision analysis is the general name given to techniques for analysing problems containing risk/uncertainty/probabilities. It provides a road map through confusing and uncertain territory and a technique for finding the best route through to the final decision.

A decision tree is a flow diagram that shows the logical structure of a decision problem. It contains four elements:



Source: From *Basic Methods of Policy Analysis Planning* by Carl Patton p. 115.

1. Decision nodes, which indicate all possible courses of action open to a decision-maker. At this point a decision must be made;
2. Chance/Uncertainty nodes, which show the intervening uncertain events and all their possible outcomes. At this point uncertainty must be resolved;
3. Terminal nodes (rewards or outcomes), which summarise the consequences of each possible combination of choice and chance.
4. Probabilities for each possible outcome of a chance event.

Step 1: Draw a decision tree to see more clearly the nature of the problem

The first step is to diagram the sequence of decisions and chance events faced. Drawing up a diagram from the written description of the problem is the most difficult part of the decision tree technique. Once that has been done the solution procedure is straightforward. One tip that may help you to draw decision trees is to ask yourself the question "What happens next?" at each point in the tree as you draw it. It is common in a decision tree to find that at decision nodes we need a

"do nothing" alternative which is an implicit decision that can be taken. Note that it is important for the decision tree to be drawn so that there is a unique path in the tree from the initial node to each of the terminal nodes. Decision trees must be constructed to show all events that can possibly occur at a chance node, and all options that might be pursued at a decision node. These events and options must be defined in such a way that they do not overlap (the technical phrase for this is "mutually exclusive and collectively exhaustive").

By applying the concepts of branching and logic to reflect the dependencies within the model, complex problems are solved. In addition, its graphical form makes it possible to quickly understand the basic problem from a single diagram, rather than having to sort through obscure variable definitions or search spreadsheets for hidden equations. The decision tree diagram has helped us to see more clearly the nature of the problem, but has not so far, helped us to decide. To do this we have two further steps.

Step 2: Assign objective probabilities to chance events

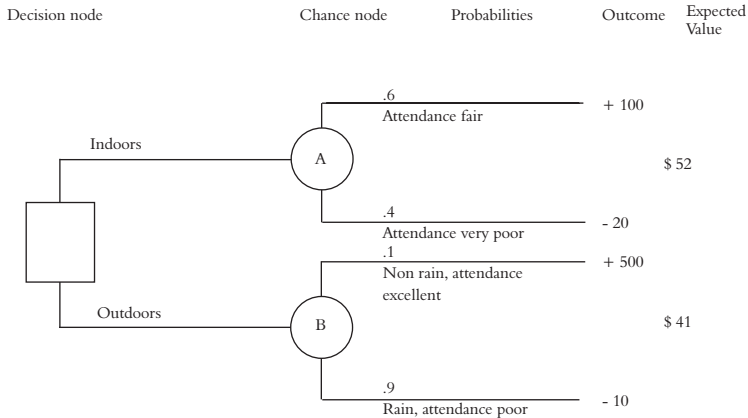
Probability assessment quantifies the information gap between what is known and what needs to be known for an optimal decision. The probability models are used for protection against adverse uncertainty. Additional techniques are computing return of investment and discounting.

Step 3: Quantify outcomes in physical units (monetary or utility values).

This step enables the decision-maker to come to a valid view of the problem in terms of importance. Calculate the tree values working from the right side back to the left. Calculate the values of uncertain outcome nodes by multiplying the value of the outcomes by their probability (i.e. expected values -EV). In some situations expected monetary values are not a suitable criterion for choice because there is a substantial variation in the value achieved under alternative outcomes. Equivalent to monetary values are called utilities.

The value of a node can be calculated when we have the values for all the nodes following it. The value for a choice node is the largest value of all nodes immediately following it. The value of a chance node is the expected value of the nodes following that node, using the probability of the arcs. By rolling the tree backward, from its branches toward its root, you can compute the value of all nodes including the root of the tree. Choose the action with the best EV.

Example: The officer in charge has to decide to replenish the employees funds by arranging a dinner. It rains nine days out of ten at the post and he must decide whether to hold the dinner indoors or out. An enclosed pavilion is available but uncomfortable, and past experience has shown turnout to be low at indoor functions, resulting in a 60 per cent chance of gaining \$100 from a dinner held in the pavilion and a 40 per cent chance of losing \$20. On the other hand, an outdoor dinner could be expected to earn \$500 unless it rains, in which case the dinner would lose about \$10.



Step 1: First, where the officer has control to make a decision two lines branching out are drawn (indoors and outdoors). Next, a circle is drawn where the answer depends on chance and in this case we have two possibilities (in indoor case either the party is moderately successful or a disaster).

Step 2: For this decision problem we know that the probabilities of these possible outcomes is a 60 percent chance of the former and a 40 percent chance of the latter. These numbers are recorded along the appropriate branches. Finally, we are also told what is the gain and loss or the ultimate outcome for each possibility which is shown at the tips of the branches.

Step 3: If officer could pick an outcome, he would choose to have the event outdoors with no rain. But he cannot simply choose that outcome since nature is in control. If he chooses the event to be outdoors he will have to take whatever comes in the way of weather. This means that he must find a way to assign a value to this node as a whole, a measure of what it is worth to him to be in a position where he faces a lottery of 90% chance of losing \$10 and 10% chance of gaining \$500. Thus, he determines an average value (expected value=EV) for chance node B.

$$EV(\text{chance node B}) = .9 \times (-\$10) + .1 \times (\$500) = \$41$$

$$EV(\text{chance node A}) = .6 \times (\$100) + .4 \times (-\$20) = \$52$$

Thus, if the decision criterion is gains, the best EV is the chance node A, and the officer should hold the event indoors.

Source: adapted from *A Primer for Policy Analysis* by E. Stokey and R. Zeckhauser, pp. 202-214.

The basic decision tree technique presented above can be applied to any problem for which a decision tree can be drawn. There are a number of extensions to the technique and the literature contains many analytical and quantitative tools, particularly for valuation of future outcomes and probabilities.

Advantages and Disadvantages

The foremost advantage is the discipline imposed by the model. A decision tree helps us to:

- think about the true nature of the decision problem;
- structure the problem, break it into manageable pieces, and put all its elements on paper - think more systematically;
- think about the role of chance and the nature of the sequential interaction of decisions and chance events;
- communicate assumptions and valuations to others.

Disadvantages:

- assumptions that guide the construction of the tree are not estimated correctly (alternatives are neglected, some aspects of the rewards are understated, probabilities miscalculated)

Applicability:

Variations to the basic model exist that expand the range of situations to which it can be applied. The use of a tree is wholly compatible with other techniques, especially with techniques for estimating rewards and when formulating probabilities will be required. The more difficult the task, the more useful decision analysis is likely to prove.

2. Situation Assessment

Values and interests come naturally into play during any phase of the policy cycle and those who oppose policies will attempt to block their adoption. Therefore, we have to begin to think strategically about whose co-operation is needed to move the adoption in an early stage.

Political analysis technique

Thus, consideration of political factors is a distinctive element of policy analysis. Arnold Meltsner provides a checklist, which helps clarify political factors.³ We attempt to collect the following information:

³Arnold J. Meltsner, "Political Feasibility and Policy Analysis," in *Public Administration Review* 32, no. 6 (November/December 1972), pp. 859 - 67.

Actors: Who are the individuals or groups usually concerned about this type of problem, and who might reasonably be expected to become involved in the current problem?

Anyone with a strong interest, whether economic, partisan, ideological, or professional, will become an actor. Therefore we must identify a list of concerned and potential actors, then identify individuals not likely to be involved but who might be affected if one of the alternatives is adopted.

Motivations: What are the motives, needs, desires, goals, and objectives of the actors? What will it take to satisfy the various actors?

Each actor's goals and objectives must be restated. What each actor can and will do to obtain these goals must also be identified, along with their non-negotiable positions.

Beliefs: What does each key actor believe about the problem? What are the attitudes and values held by the various participants? What do they see as desirable means and ends?

Resources: What does each actor have that can be used to get what is wanted? Resources are often monetary, but can take the form of management skills or a sense of timing. Which actors are most able and likely to get what they want i.e. power, influence or authority to control events, to modify procedures, and to affect the actions of other actors?

Effectiveness: Some individuals and groups are better able to use their resources than others are. Which actors are most able and likely to get what they want?

Actors must be ranked in terms of their ability to mobilise and use their resources.

Sites: Where will decisions be made? By whom? When?

Sites can be identified from legislative intent, administrative procedure, and past conflicts. Each political arena has its own set of rules about how decisions are made. Becoming familiar with these rules, both formal and informal, is important for political prediction and strategy.

Applicability

Political analysis should be introduced at each stage of policy analysis. The analyst should consider political feasibility in the selection of a policy problem, in

the definition of that problem, in the identification of alternatives, and in the recommendation of a preferred alternative. Strategic thinking helps the analyst to be more creative by drawing his or her attention to ways of taking advantage of the self-interested behaviours of others. Similarly, it helps to be more perceptive about potential problems and opportunities in designing implementation plans.

Example: A Political Analysis Worksheet: Feasibility of a Ban on Random Workplace Alcohol Testing

Actors	Motivations	Beliefs	Resources
Interest Groups			
Labour council	Protect workers from harassment	Testing would be used unfairly	Large membership, ties to Democrat Party
Chamber of Commerce	Protect firms' rights to fire dangerous and unproductive workers	Testing may be necessary to detect and deter employee alcohol use	Influential membership; ties to Republican Party
Civil Liberties Union	Protect rights of individuals	Testing infringes on right to privacy	Articulate spokesperson
Urban League	Protect minority employees	Testing disproportionately hurts minorities	Can claim to speak for minority interests
Daily newspapers	Support business environment	Testing ban not appropriate at city level	Editorials
Unelected officials			
City Attorney	Support mayor and protect city from lawsuit	Ban probably legal	Professional opinion
Director, Public Health	Fight alcohol abuse	Testing probably desirable if not punitive	Professional opinion; evidence on effectiveness of tests
Elected officials			
Council Member A	Support labor	Ban desirable	Vote
Council Member B	Support business	Ban undesirable	vote
Council Member C	Support labor	Ban probably desirable	Vote, agenda control
Council Member D	Support business	Ban probably undesirable	Vote
Mayor	Maintain good relations with labor and business	Ban probably undesirable	Veto power, media attention
Source: Policy Analysis: <i>Concepts and Practice</i> by D. Weimer and A. Vining, p. 386.			

1. Forecasting: Predicting the Consequences

The principal question for each alternative is whether the proposed policy will work: will it meet the desired objectives? The second question is whether it will do so in an efficient and equitable manner. Thus, the principal concern of an analyst is forecasting the project or policy impacts.

Table 2: Overview of Three Approaches to Forecasting

Approach	Basis	Appropriate Techniques	Product
Extrapolative forecasting	Trend extrapolation	Classical time-series analysis Linear trend estimation Exponential weighting Data transformation Catastrophe methodology	Projections
Theoretical forecasting	Theory	Theory mapping Causal modeling Regression analysis Point and interval estimation Correlation analysis Laws of supply and demand	Predictions
Judgmental (intuitive) forecasting	Informed judgment	Conventional Delphi Policy Delphi Cross-impact analysis Feasibility assessment Scenario writing	Conjectures

Source: Based on *Public Policy Analysis* by Dunn, p. 202-254 and *Basic Methods of Policy Analysis and Planning* by Patton 204-222.

The extrapolation: the basic assumption is that a simple extension of what has occurred in the past is a good approximation of what will occur in the future. The underlying assumptions are that the patterns that existed in the past will continue into the future, and that those patterns are regular and can be measured. To be useful, measurements of trends must be precise and must use valid operational definitions of the subject at hand. Usually we apply this technique to phenomena described in numbers.

Theoretical forecasting: model making is the basis of this method, where the model specifies the linkages between variables under consideration and allows us to predict the outcomes of policy action. Some of these models have become highly developed, tested and standardised. For the purposes of policy analysis, models that describe complex human behaviour patterns (e.g. motivations) are of interest. We must also be able to seek sources of data and information and develop our own simple models of the problems faced.

Judgmental or intuitive prediction: based on subjective estimates. A future state is first described, and then “reproductive” logic is used to find data and assumptions consistent with the forecasted end state. It is the most frequently employed technique in policy analysis.

Different approaches to forecasting are complementary. The strengths of one approach or technique are very often the limitations of another. Therefore, multi-method forecasting is recommended, which combines multiple forms of logical reasoning (inductive, deductive, retroductive), multiple bases, and multiple objects (the content and consequences of a policy and the behaviour of policy stakeholders).

Delphi technique

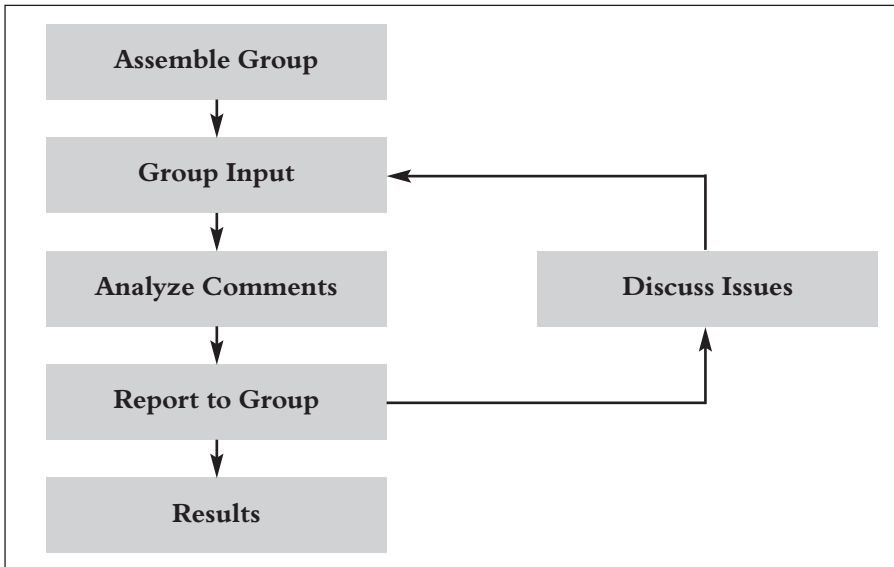
Early applications of Delphi were motivated by a concern with the apparent ineffectiveness of committees, expert panels, and other group processes. The technique was designed to avoid several sources of distorted communication found in groups: domination of the group by one or several persons, pressures to conform to peer group opinion, personality differences and interpersonal conflict.

Delphi policy technique is based on the following principles⁴:

- Selective anonymity: participants in a Delphi policy remain anonymous only during the initial rounds of a forecasting exercise. After contending arguments about policy alternatives have surfaced, participants are asked to debate their views publicly.
- Informed multiple advocacies: the process for selecting participants is based on criteria of interest and knowledge, rather than “expertise” per se. In forming a Delphi group investigators attempt to select as representative a group of informed advocates as may be possible in specific circumstances.
- Polarised statistical response: in summarising individual judgements, measures that purposefully accentuate disagreement and conflict are used. While conventional measures may also be used (median, range, standard deviation), Delphi policy supplements these with various measures of polarisation among individuals and groups.
- Structured conflict: starting from the assumption that conflict is a normal feature of policy issues, every attempt is made to use disagreement and dissension for creatively exploring alternatives and their consequences. In addition, efforts are made to surface and make explicit the assumptions and arguments that underlie contending positions. The outcome is completely open, allowing for both consensus as well as a continuation of conflict as results of the process.
- Computer conferencing: where possible, computer consoles are used to structure a continuous process of anonymous interaction among physically separated individuals.

⁴Dunn, 243.

A Delphi policy may be conducted in a number of different ways, depending on the context, skills of the facilitator and equipment (computerisation). It involves a large number of technical questions, including sampling, questionnaire design, validity and reliability, data analysis and interpretation. A Delphi policy can be best visualised as a series of interrelated steps:



Step 1: Assemble Group

An interest group is typically assembled, either through correspondence or face-to-face discussion, to assess issues of mutual concern. One of the central problems of this step is deciding what proportion of issues should be generated by participants, and what proportion by the analyst. While the individuals in the group share a common interest (the subject of the Delphi), they usually represent different points of view, have different relative influence and formal authority.

The size of the sample range is from 10 to 30 people, though this depends on the nature of the issue. The more heterogeneous participants, the larger the sample must be to be representative of the range of advocates. Although the responses are anonymous, an individual participant must feel that other members of the group will be able to contribute valuable insight about the problem under examination. This is a primary factor in motivating participation. It is usual to inform the participants of who is actually in the group of Delphi respondents.

Step 2: Group input

Delphi policy takes place in a series of rounds, therefore an analyst must decide which specific items will go in questionnaires to be used in the first and subsequent rounds. The subsequent round questionnaires can only be developed after the results of the previous round are analysed.

Questionnaires should be designed in such a way that they do not permit neutral answers. Delphi is structured with the objective not to produce a consensus, but to expose the strongest pro and con arguments about differing resolutions of a policy issue. It is a form of policy analysis that provides a decision-maker with the strongest arguments on each side of the issue.

Each member of the group is asked to give their comments regarding a particular set of issues. It should be clear to the respondents that they do not have to respond to every question, but can decide to take a "no judgement" view. The respondent's confidence is usually solicited in their judgements, particularly when they are quantified judgements. This allows the respondents to estimate their own degree of expertise on the judgements they are supplying. The fact that contributions can be made anonymously also means a person does not have to feel embarrassed if he or she does not feel able to confidently contribute to a specific aspect of the problem.

The individual respondents are first asked to make a projection of how they think the time curve will develop in the next five years. Then they are asked to list the assumptions they are making and any uncertainties they have. Assumptions are things they think will occur over that time frame and which affect the determination this trend. Uncertainties are things they do not think will occur, but if they did, would cause changes in estimates of where the trend will go. Additional sets of questions may concern the options or possible courses of action that may contribute to the attainment of goals, or items requesting respondents to rank issues in terms of their importance, etc. can be issued.

A good Delphi survey attempts to tackle the problem from many different perspectives. Sometimes this involves the inclusion of questions in the Delphi survey which approach the problem both from the "bottom-up" and "top-down" perspectives. This allows different individuals in the group to focus on the approach to problem solving with which they feel most comfortable.

Step 3: Analyse comments

All the guidelines on good survey design and all the analysis methods that have been developed for analysing survey data are potentially applicable to a Delphi. In the Delphi process, however, we are interested in informing the respondents

about what they are really saying, and how it compares to the group as a whole. We are also interested in promoting changes in viewpoints and the other items we measure, if it will promote reaching a superior group view of the situation. We are also interested in detecting and exposing hidden factors or relationships of which the group may not be completely aware.

With material being supplied in parallel, it is clear that the need to structure and organise it in a manner that it makes sense to the group is a primary requirement. The analyst attempts to determine the initial positions on the issues. Since there will be conflicting assessments among various advocates, e.g. some peoples' uncertainties are other's assumptions and vice versa, it is important to use summary measures that not only express the central tendency in the set of responses but also describe the extent of dispersion and polarisation.

In subsequent rounds with the appropriate use of scaling methods it becomes possible to establish that individuals will mean the same thing when they use terms such as: desirable, very desirable, likely, unlikely, agree, strongly agree, etc. It becomes possible to determine which alternatives are actually similar and which are distinctly different. Scaling methods, in essence, serve the objective of eliminating ambiguity in the judgmental and estimation process of a group.

Step 4: Report to Group

A facilitator analyses the individual comments and produces a report documenting the response of the group. The individuals then compare what they said to the group's normative response as a basis for discussion. The discussion, again via remote or face-to-face conversation, is used to share, promote, and challenge different points of view.

Step 5: Discussion of issues, subsequent rounds of Delphi policy

The need to carefully define the entire communication structure and put it into a framework that produces both a group view and a synchronisation of the group process is the most difficult part of a good Delphi design. The design team must undertake this by processing the results of each round and producing a proper summary. In a computer based Delphi process, this is replaced by a continuous feedback process, which may or may not involve human intervention for the processing.

Once this is done the participants, having the benefit of previous discussion, anonymously comment on the issues again. A new group report is generated and the process repeats itself and the process continues until the group reaches consensus or stable disagreement. After the list has been completed and evaluated, the participants are asked to re-estimate their earlier trend prediction.

Results are compiled into a list of "possible" assumptions and every individual is asked to vote on each possible assumption according to validity. To accomplish this validity estimation the group may be provided with an anchored interval scale, which varies, for example, from "definitely true" to "definitely false," with a mid-point of "maybe." The resulting list of assumptions is automatically reordered by the group's validity judgement. Those the group agrees on as valid or invalid are set aside, and the subsequent discussion focuses on the assumptions that have an average vote of "maybe". The analysis of the voting has to point out which "maybe" votes result from true uncertainty on the part of the respondents, and which result from wide differences in beliefs between subgroups of respondents.

In the final stage, the participants are brought together for a face-to-face discussion of the reasons, assumptions, and arguments that underlie their various positions. Since this meeting occurs after all advocates have had an opportunity to reflect on their positions it creates an atmosphere of informed confidence.

Step 6: Results

There is no guarantee that participants will have reached consensus but creative ideas about issues and their consequence will be the most important product. One could observe that a statistical regression analysis might have produced a similar trend curve. However, the application of such a mathematical technique will not produce the qualitative model that represents the collective judgement of all the experts involved. It is that model which is important to understanding the projection and what actions can be taken to influence changes in the trend or in understanding the variation in the trend's projection. The report of final results will therefore include a review of the various issues and options available, taking care that all conflicting positions and underlying arguments are presented fully.

Advantages

- sophisticated method of interviewing and summarising results, providing not only quantitative but also qualitative data
- allows individuals with differing perspectives and/or differing cognitive abilities to contribute to those parts of a complex problem for which they have both the appropriate knowledge and appropriate problem solving skills
- applicable to a large group that could otherwise not meet
- intuitive forecasting, being more accurate, richer in detail, and more legitimate
- provides a check for the logical consistency of intuitive forecasts
- takes advantage of computers (emails, conferencing, etc.)

Drawbacks:

- too time and resource consuming to be used as a basic method
- lacks a mechanism for discovering mutually exclusive or conflicting outcomes (e.g. full employment AND a low rate of inflation is impossible to obtain simultaneously by a Delphi forecast). Cross-impact analysis addresses this problem.

Application

Policy analysts adopt important principles from the method for use when time and resources are limited. The most important objective of creating these researched intuitive techniques, legitimising the conclusions in a political context, must be speeded up or short-circuited when a quick approach is adopted.

Several principles from the Delphi process which can be adopted for use in a quick intuitive forecast include: selection of knowledgeable participants, independence and anonymity of participants in the initial stage, revision of initial forecasts with individual participants after disclosure of preliminary results, and development of a consensual forecast.

Accelerated Delphi Technique

The fastest approach is to have the experts involved sit down together and discuss the reasons for their discrepancies. This is known as the accelerated Delphi technique. They have the opportunity to hammer out any issues, learn from each other's experience, and keep voting. Eventually a consensus is reached. This approach is fastest because the communication between team members is both fast and efficient. Problems arise when one or more team members dominate others. This dominance may be related to perceived technical authority (e.g., the Senior Programmer with more technical experience intimidates the less experienced individuals); positional authority (e.g., the department head intimidates the Analysts); or personality (e.g., the dominant individual dominates over the more meek individuals). If any of these factors is a potential problem, then the traditional Delphi technique is your best bet.

Feasibility Assessment

Good analysis does not suppress uncertainty, either in facts or theories. It is more effective to highlight ambiguities than to suppress them. Remember that if your client does not hear of these ambiguities from you, he or she will hear of them from analytic or political opponents. Feasibility assessment, or variants of it, is an integral part of the policy analysis process. Checks for feasibility should not be consigned to one step in the analytic process. Rather, the whole notion of feasibility needs to be made part of problem definition, alternatives' generation, and evaluation.

This technique is well suited for problems requiring estimates of the probable consequences of attempting to legitimise policy alternatives under conditions of political conflict and the unequal distribution of power and other resources. It may be used to forecast the behaviour of stakeholders in any phase of the policy-making process, including policy adoption and implementation. The feasibility assessment technique focuses on several aspects of political and organisational behaviour under conditions of political conflict.

Step 1: Identify representative stakeholders:

Stakeholders should represent various organisations and organisational levels with different constituencies and with varying levels of resources and roles in the policy-making process.

Step 2: Code and value the aspects of political and organisational behaviour:

Issue position: here you have to estimate the probability that various stakeholders will support, oppose or be indifferent to policy alternatives. Positions are coded as supporting (+1), opposing (-1), or indifferent (0). A subject estimate is then made of the probability that each stakeholder will adopt the coded position. This estimate (which ranges from 0 to 1) indicates the importance of the issue to each stakeholder.

Available resources. Here you have to provide a subjective estimate of the resources available to each of the stakeholders in pursuing their respective positions. Available resources include prestige, legitimacy, budget, staff, and access to information. Since stakeholders have positions also on other issues for which part of their resources are necessary, available resources should be stated as a fraction of total resources held by the stakeholder. The resource availability scale, expressed as a fraction, varies from 0 to 1. (There might be a high probability of support for a policy but small opportunity to affect the policy's adoption as a result of commitment of resources to other issue areas.)

Relative resources rank: the relative rank of each stakeholder with respect to resources on a scale from 0 to 1 (influence of stakeholders) must be determined. (A stakeholder who commits a high fraction of available resources to support a policy may be unable to significantly affect the policy's adoption because he or she has few resources available).

Step 3: Calculate feasibility indices

The index of total feasibility ranges from -1.0 to +1.0, which means that the feasibility of different policy alternatives is directly comparable. The negative sign of the indices indicates that there is more opposition than support and the positive indicates support for a particular policy. Adjusted total feasibility depends on the sign (positive or negative) and the number of positive (or negative) positions taken.

Example: A policy analyst in a municipality has completed a study which shows that local property taxes must be raised by an average of 1 percent in order to cover expenditures for the next year. Alternatively, expenditures for municipal services must be cut by a comparable number, an action that will result in the firing of 1500 employees. The mayor is extremely hesitant to press for a cutback in services. At the same time local taxpayers' groups strongly oppose to yet another tax increase. Analyst is supposed to provide feasibility assessment.

a) Alternative 1 (tax increase)

Stakeholder	Coded position	Probability	Fraction of resources available	Resource rank	Feasibility score
Mayor	+1	0.2	0.2	0.4	0.016
Council	-1	0.6	0.7	0.8	-0.336
Taxpayers' association	-1	0.9	0.8	1.0	-0.720
Employees union	+1	0.9	0.6	0.6	0.324
Mass media	+1	0.1	0.5	0.2	0.010

$$\Sigma F = -0.706$$

$$\text{Index of total feasibility (TF)} = \Sigma F / n = -0.706 / 5 = -0.14$$

$$\text{Adjusted total feasibility (TF}_{\text{adj}}) = \text{TF} \times (5/2) = -0.14 \times (2.5) = -0.35$$

b) Alternative 2 (budget cut)

Stakeholder	Coded position	Probability	Fraction of resources available	Resource rank	Feasibility score
Mayor	+1	0.8	0.2	0.4	0.192
Council	+1	0.4	0.5	0.8	0.160
Taxpayers' association	+1	0.9	0.7	1.0	0.630
Employees union	-1	0.9	0.8	0.6	-0.432
Mass media	-1	0.1	0.5	0.2	-0.010

$$\Sigma F = 0.54$$

$$\text{Index of total feasibility (TF)} = \Sigma F / n = 0.54 / 5 = 0.11$$

$$\text{Adjusted total feasibility (TF}_{\text{adj}}) = \text{TF} \times (5/3) = 0.11 \times (1.66) = 0.183$$

The table shows that a tax increase is unfeasible. The negative sign of the indices (simple and adjusted) at the bottom of the table indicates that there is more opposition than support for a tax increase. By contrast, the index of total feasibility (adjusted) for the budget cut is positive and in a weak range.

Source: From Public Policy Analysis by Dunn, p. 255-7.

Advantages

- a way to respond to concerns where usually there is no theory or available data that allow us to make predictions of the behaviour of policy stakeholders

- a systematic assessment of the sensitivity of issue positions and available resources to changes in policy alternatives;
- source of creative insight and counterintuitive findings.

Limitations

- no systematic way of identifying the assumptions and arguments that underlie subjective judgements (use of assumptions analysis techniques is recommended).
- ignores the formation of coalition over time and the interdependence of issue positions (use of cross-impact analysis is recommended).

2. Evaluation and Monitoring: Valuation of Outcomes

Primarily policy analysts are interested in analysing policies, programs, and projects before they are undertaken – ex ante evaluation. The processes and the methods of ex-post evaluation (or evaluation after implementation and program monitoring) are becoming more standardised. However, the criteria for both ex-ante and ex-post policy evaluation are the same because they are the same for policy recommendation. The only difference is that these criteria are applied in one case retrospectively (ex post) to policy outcomes, rather than prospectively (ex ante) to policy actions. The main functions of evaluation and monitoring in policy analysis are the provision of reliable and valid information on policy performance (future or past orientation), the clarification and critique of values that underlie the choice of goals and objectives, and the provision of information for problem structuring and practical inference.

Table 3: Criteria for Evaluation

Type of Criterion	Question	Illustrative Criteria
<i>Technical Feasibility</i>		
Effectiveness	Has/will a valued outcome been achieved? Has the proposed policy its intended effect? To what degree does the proposed action accomplish the objectives?	Units of service
Adequacy	To what extent does the achievement of a valued outcome resolve the problem?	Fixed costs Fixed effectiveness
<i>Economic and Financial Possibility</i>		
Efficiency	How much effort was required to achieve a valued outcome? How can an objective be achieved at minimum costs?	Unit cost Benefit-cost analysis Cost effectiveness Discounting Shadow pricing
Profitability	Will future revenues compensate my current costs in a proposed project?	Cost-revenue analysis Fiscal impact analysis

	<i>Political Viability</i>	
Equity	Are costs and benefits distributed equitably among different groups (income class, age, race and ethnicity, sex, family status, residential location)?	Pareto criterion Kaldor-Hicks criterion Rawls criterion
Responsiveness	Do policy outcomes satisfy the needs, preferences or values of a particular group?	Consistency with citizen surveys
Appropriateness	Are desired outcomes (objectives) actually worthy or valuable?	Public programs should be equitable as well as efficient
	<i>Administrative Operability</i>	
Institutional commitment	Is the existing administrative system capable of delivering the policy or program? What are the major organizational limitations?	capability organizational support authority

Source: Based on *Public Policy Analysis* by Dunn, p. 405 and *Basic Methods of Policy Analysis and Planning* by Patton pp.156-167.

Benefit - Cost Analysis (BCA)

BCA is a technique using a metric monetary measure of the aggregate change in individual well being resulting from a policy decision. Individual welfare is assumed to depend on the satisfaction of individual preferences, and monetary measures of how much individuals are willing to pay/give up in terms of other consumption opportunities.

It is a primary type of cost-oriented method where outcome is compared to input and stated in monetary values and judges the trade-off between disparate effects. The rationale for BCA is economic efficiency, i.e. to ensure that resources are put to their most valuable use. Thus, the aim is to determine whether an action should be undertaken, and if so, at what scale.

In principle, three elements are critical in estimating CBA:

1. Prediction: for each alternative all impacts, both favourable and unfavourable, present and future, on society are to be determined.
2. Valuation: usually in dollars, are assigned to these impacts. Favourable impacts will be registered as benefits, unfavourable ones as costs.
3. The net benefit (total benefit minus total cost) is calculated.

Step 1: Prediction

In using BCA it is essential to consider ALL benefits and costs that may result from a policy. One of the best ways to guard against errors is to classify benefits and costs:

- inside (internal) vs. outside (external) to a given target group: the difference depends on how the analyst draws boundaries around the target group.

The construction of apartments in a central city area has certain costs and benefits within urban jurisdiction but has also external costs to suburban jurisdiction in that there must be additional police services in areas where criminals have resettled because they can no longer afford to live in the centre of the city.

- directly measurable (tangible) vs. indirectly measurable (intangible). The question here is whether the cost or benefit is a “tangible” or “intangible” one. Tangibles are costs and benefits that are directly measurable in terms of known market prices for goods and services. Intangibles are indirectly measurable in terms of estimates of such market prices.

The analyst may attempt to estimate the price of clean air by estimating “shadow prices” by making a subjective judgement about the dollar value of costs and benefits.

- primary (direct) vs. secondary (indirect). Here the question is whether the cost or benefit is a direct or indirect result of a program. Primary costs and benefits are related to the most highly valued program objectives, while secondary ones are related to objectives that are less valued.

An urban renewal program may have as its most important objective the provision of low-cost housing to the poor, in which case the primary costs and benefits would include expenditures for construction and income from rents. Secondary costs and benefits would involve lesser objectives, such as the destruction of a sense of community, reduced costs of police because of better street lighting.

- net efficiency (real) vs. redistribution (pecuniary) Here the question is whether combined costs and benefits create an increase in aggregate income or result merely in shifts in income or other resources among different groups. Net efficiencies are those that represent a “real” increase in net income (total benefits minus total costs), while redistribution benefits are those that result in a “pecuniary” shift in the incomes of one group at the expense of another without increasing net efficiency benefits.

An urban renewal project may produce \$1 million in net efficiency benefits. If urban renewal also results in increased sales in small grocery stores in the immediate area, but decreased sales in stores further away from new apartments, the benefits and the costs of income gained and lost are “pecuniary”. They cancel out each other without producing change in net efficiency benefits.

The answer to these questions can result in many combinations of costs and benefits. Many times they represent a situation requiring tradeoffs, that is, conscious efforts to determine how much of one objective should be sacrificed to obtain another.

Step 2: Valuation

Given these predictions of favourable and unfavourable impacts, we must next attach values to them. This is the most difficult part in BCA. Market prices are usually the appropriate indicators of value. Then, the question of how to value impacts that take place over time has to be addressed (usually a discounting technique is employed). However, there are situations where market prices are unsatisfactory guides to values and then other methods (computing estimates such as willingness-to-pay calculations, opportunity costs) for valuing benefits and costs are relevant. Market prices might be distorted for a number of reasons such as unfair competition, monopolistic practices, and government price support programs, collective goods (for example clear air or a sense of community). Shadow pricing is a procedure for making subjective judgements about the monetary value of benefits and costs when market prices are unreliable or unavailable. These procedures include:

- Willingness-to-pay calculations. Willingness-to-pay is the maximum amount an individual would pay if his contribution would make the difference between adopting and not adopting the project. Thus, it is not the amount he or she may in practice be forced to pay but the amount that he or she has been observed to pay. Willingness-to-pay calculations are often employed to determine whether a particular good should be publicly provided. Usually carefully designed surveys to estimate public demand are used. In this case individuals' interests are taken into account.
- Opportunity costs. In some situations the market prices of resources devoted to a project may be an inaccurate guide to the true costs. The true cost is not what was paid for or what is the current value of a certain resource; the true cost is the value in its best alternative use. It is a decision-making rather than accounting concept.

The town plans to use land that was purchased 25 years ago for \$20,000 for an incinerator. The only alternative use under consideration is an extension to the high school. The net benefits over time of this extension are estimated at \$200,000. Then the real cost to the town if the parcel is used for the incinerator is \$200,000 even though it would bring much less if sold on the open market.

- Cost of compensation. The value of intangibles (unwanted outside costs such as environmental damage and vice versa) is estimated by obtaining prices for the actions required to correct them. For example, the benefits of an anti pollution enforcement program might be estimated on the basis of medical costs that will not be incurred as a result of fewer people contracting lung cancer and other chronic diseases.

Step 3: Net benefit and benefit/cost ratio criterion

The net benefit rule applies for alternatives that are similar in scale. When they differ in size, a cost-benefit ratio or cost-effectiveness ratio may be useful.

Typically a project will be recommended because its benefit/cost ratio (its total benefits divided by its total costs) is greater than 1, or rejected because the ratio is less than 1. Or a project is adopted because it has the largest benefit/cost ratio among competing projects. However, when choices must be made between mutually exclusive projects or when resources are constrained, the two criteria may lead to inconsistent choices.

To see how, benefit/cost ratio can mislead us, suppose a local policy maker is considering alternative uses for a particular parcel of land. Budget constraints are not a consideration. Benefit-cost analysis produces the estimates shown in table. In this situation, project I has a higher benefit/cost ratio and project II has larger net benefits. Since funding is not a problem, project II should be selected.

Project	Benefits	Costs	Net Benefits	Benefit/Cost Ratio
I.	\$10 000	\$1 000	\$9 000	10
II.	\$100 000	\$25 000	\$75 000	4

Source: from *A Primer for Policy Analysis* by E. Stokey and R. Zeckhauser, p. 146.

Advantages and disadvantages

The strengths of benefit-cost analysis are: transparency and the resulting potential for accountability; a common unit of value for costs and benefits; and comparability - policy benefits are easily linked to the income of a society as a whole or to compare programs in widely different areas.

The technique is potentially dangerous as they convey an aura of precision and objectivity. However, this technique is especially vulnerable to misapplication through carelessness, naivete or deception and is limited in its capacity to consider the criteria of equity and responsiveness as the emphasis is put on economic efficiency.

This method can be applied prospectively (ex ante) to recommend policy actions and retrospectively (ex post) to evaluate policy performance.

Sensitivity Analysis

In order to formulate a problem, a certainty assumption must be made: the value the data takes on must be found and decisions made based on that data. Often this assumption is somewhat dubious: the data might be unknown, or guessed at, or otherwise inaccurate. How can the effect on the optimal decisions be determined if the values change? Clearly some numbers in the data are more important than other numbers. Can the “important” numbers be found? Can the effect of inaccurate estimation be anticipated? There is a tremendous amount of sensitivity information, or information about what happens when data values are changed. Sensitivity Analysis (SA) aims to ascertain how the model depends upon the information fed into it, upon its structure and upon the framing assumptions made to build it. Sensitivity analysis is particularly well suited to examining the effect of changing some of the critical underlying assumptions by calculating the sensitivity of estimates. The ultimate question is how sensitive the final decision is to the estimates that have been used.

Steps:

Establish a reasonable range of values for every variable relevant to a particular policy problem. To develop these ranges, ascertain decision-makers’ decision criteria as well as critical uncertainties and risks. Test both ends of the range of values for every variable that you suspect might be critically sensitive. Critically sensitive are those that, when varied, change the nature of the recommendation.

1. List all the variables relevant to the policy problem.
2. Establish a range of likely values for each.
3. Holding all others constant, test the range of values for one variable to see if any decision criteria are affected. This establishes the sensitivity variables.
4. Test the sensitive variables using break-even, contingency, and a fortiori concept as appropriate.

Current approaches to deal with uncertainties include:

Scenario Analysis: in this approach scenarios are assumed (e.g. certain combinations of possible values of uncertain parameter) and problems for each are solved. By solving the problem repeatedly for different scenarios and studying the solutions obtained, the manager observes sensitivities and heuristically decides on an approximate, which is subjective.

Worst-case Analysis (contingency analysis): this technique attempts to account for safety margins put into the problem in the planning stage.

Break-even Analysis: this method attempts to find the value at which the project becomes feasible. We can use break-even analysis to decide whether a single project is feasible or we can use it to compare several projects, setting the value of a variable at a point where there is no difference between alternative proposals. Discussion can then focus on that particular variable and public opinion of it.

Monte-Carlo Approach: Stochastic models assume that the uncertainty can be known by its statistical distribution. If there are a sufficient number of runs and the project looks feasible in a majority of those runs, then the project is feasible. This technique can only be applied with computing equipment.

A fortiori Analysis: Every effort is made to prove the favoured alternative to be the least attractive.

Example: Scenario Sensitivity Analysis

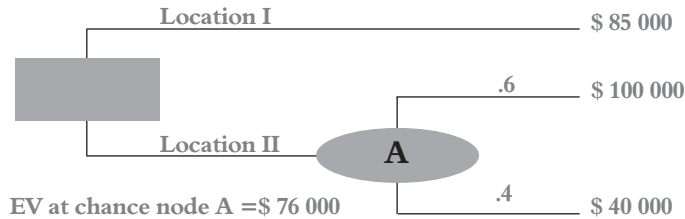
In comparing two personnel training programs, that analyst may examine the sensitivity of transportation costs to possible changes in the price of gasoline. Here the analyst may introduce assumptions that the price of gasoline will increase by 10 percent, 20 percent, and 30 percent over the life of the program. Since program I is situated in a semirural area, trainees must drive a longer distance to reach the training site than trainees in program II, which is located in the city.

Program	Price Increase		
	10%	20%	30%
I. Semirural			
Total costs	\$4400	\$4800	\$5200
Trainees	\$5000	\$5000	\$5000
Costs per trainee	\$0.88	\$0.96	\$1.04
II. Urban			
Total costs	\$4500	\$4800	\$5100
Trainees	\$5000	\$5000	\$5000
Costs per trainee	\$0.90	\$0.96	\$1.02

Source: From *Public Policy Analysis* by Dunn, p. 322.

Example: Worst-case Sensitivity Analysis

An officer must choose between two construction sites. Site preparation for Location I. will cost \$85000. For Location II the cost is iffier; the decision maker thinks there is a 60 percent chance it will cost \$100000, but if he's lucky it will cost only \$40000.



Location II appears to be the preferred choice. But in fact the probabilities .6 and .4 are based on limited information. How sensitive is his decision to these probabilities? In other words, how different would they have to be to change his decision? He can find out by calculating the probabilities for which Location I would be preferred to Location II. As the probability of a cost of \$100 000 increases, Location II will become less and less attractive, until for some probability p the officer is neutral to two sites. Thereafter he will prefer Location I.

$$p(100000) + (1 - p)(40 000) = 85 000$$

$$p = .75$$

In other words, whenever the probability that the cost at Location II is \$100000 exceeds 75%, Location I will be preferred.

Source: From *A Primer for Policy Analysis* by E. Stokey and R. Zeckhauser, p. 234.

Application

Practically any problem, alternative, value, variable, or assumption can be subjected to sensitivity analysis. Currently, computer simulations are available where we assign likely expected values and ranges for all variables, and then, using programmed statistical techniques, allow the computer to assign values to all variables in a number of different experimental runs.

5. Recommendation: Selecting among Alternatives

After quantitative and qualitative data have been produced, the results must be displayed in a logical and consistent manner and the alternatives must be compared against one another in light of the relative importance of the decision criteria. Each alternative must be examined to determine how fully it meets goals, whether it is equitable, and whether it has unintended consequences. In order for clients to select among alternatives, it is usually necessary to display the results graphically as well as in narrative form. Often a matrix or spreadsheet is used to permit comparisons. Sometimes the results are presented in scenarios. The analyst should not display all technical work.

Exhibition – Summary Comparison

It is always useful to summarise the projected outputs and consequences of each alternative in a visual way, displaying both quantitative and qualitative descriptions. The no-action alternative, retaining status quo, should always be considered as an alternative, especially as a base line for conducted analysis.

Example 1: Summary for Hard Drug Treatment Options

Evaluation Criteria	Alternative 1 (current program level)	Alternative 2 added services (high cost)	Alternative 3 added services (low cost)
Costs	\$7.6 million	+ \$10.3 million	+ \$5.8 million
Individual clients served	7500 - 9000	+ 9300	+ 6200
Clients rehabilitated	Unknown	+ 810	+ 380
Person-years potentially drug free	Min. 4800 – 5300	+ 9100 – 9600	+ 3300 - 3600
Maximum cost per person-year potentially heroin-free	\$1600	\$1700	\$1700
Methadone maintenance	3 units with total capacity of 500	+ 13 units with total capacity of 1300	+ 4 units with total capacity of 400
Probation officers for surveillance	None	+ 11 units	+ 4 units

Source: Adapted from *Program Analysis for State and Local Governments* by H. Hatry et al., pp. 145-146.

Example 2: Summary for Radio License Assignment Methods Compared

Method	Goal: Efficiency	Goal: Fairness	Goal: Revenues
Competitive Hearing	Might not assign the license directly to the user who values it most. Secondary markets to the users who value them most might appear. High administrative and delay costs on society.	Can ensure a specific distribution of licenses. Legal and administrative costs of the process give larger financial interests an advantage.	Revenues limited to license application fees. There can be a range of fees for various applicants.
Lottery	A random process unlikely to assign the license directly to the user who values it most. Secondary markets might appear. Faster than hearings, less prompt than auctions.	Allows applicants equal opportunity if they can pay the application fee. By awarding licenses to applicants who do not intend to provide services, grants lottery winners a windfall not shared by the public	Lottery revenues depend on the set fee and number of applicants attracted (1991 digital electronic message service lottery in USA drew 60 000 applicants and total fees of \$4.4 million).
Auction	Is likely to assign the license directly to the user who values it most. Quick process at a low cost to society than alternatives.	Gives taxpayers a share of spectrum rents. Can be structured to accommodate small bidders.	Auction could generate a substantive amount of finances, however, it is difficult to predict.

Source: Adapted from *Policy Analysis: Concepts and Practice* by D. Weimer and A. Vining, p. 313.

Goeller Scorecard

Various matrix systems have been used to display the pros and cons of options. The Goeller scorecard describes the impacts for each alternative in “natural” units - that is monetary terms, time, physical units, other quantified terms or in qualitative terms. Each row of the scorecard represents one impact and each column represents an alternative. What is known about the impact of each alternative is shown in the respective cells in numerical or written form. A column shows all the impacts for an alternative. A row shows each alternative’s value for a given criterion. Shading colours or other notation can be used to indicate the extent to which the alternatives meet each criterion. For example, lighter colours can indicate the most beneficial impacts, darker colours the worst impacts.

Example: Selected Early Retirement Options

Selected criteria	Group-based annuity	Individual-based annuity	Partial Employment -individual annuity
Funds freed	\$9,078	\$10,343	\$7,927
Employee replacement rate	0.61	0.69	0.53
Retirement income level	\$24,380	\$27,784	\$30,200
Administrative feasibility	Benefit schedule encourages lower valued persons to retire	Problems estimating number of voluntary retirements	Reemployment may be cumbersome
Legal feasibility	Precedent exists	Precedent exists	Precedent exists
Political feasibility	Lower paid given larger benefits	Individuals concerned about reemployment	Employee remains on payroll

Key: Worst Best Intermediate

Source: from *Basic Methods of Policy Analysis and Planning* by Patton, p. 277.

The advantages of the above are that the scorecard display can be used to present a variety of impacts, both quantitative and qualitative and that it allows individual actors to assign their own values to each option and groups may be able to arrive at an overall agreement.

Equivalent Alternatives Comparison

In a complex multi-attributed situation when we are faced with several options and several criteria, it is extremely difficult to identify the superior alternative and in fact many times there is no dominant alternative. This method helps in selecting among alternatives in which the values of pros and cons are determined by estimating how much of a quantifiable benefit of one alternative you would be willing to trade for an improvement in how well it meets another criterion. When all benefits and disadvantages of the alternatives have been traded off against each other, the alternative with the largest quantified benefits is presumed to be superior.

Step 1: Elimination of non-dominated alternatives

The dominance approach can help us to reduce the number of alternatives so that we can then compare equivalent alternatives. All alternatives are ranked for how well they satisfy each criterion. Those alternatives that are dominated by other alternatives, i.e. those that are inferior to at least one other option on at least one criterion, are eliminated. An alternative dominates another if it is superior on

at least one criterion and no worse on all the rest. In this way two or more options that are equally satisfying may be revealed and further investigated. Searching for a non-dominated alternative will not identify the preferred option, and this stage is particularly important when preferences can be ordered but not quantified on an interval scale.

Step 2: Valuation of each criterion

For each criterion a numerical value is given if possible. Where not possible, a statement is written that describes the characteristics of the criterion. The process requires only one quantitative variable, the value of which can be manipulated incrementally so as to produce equivalent alternatives. Usually, in policy decisions this equilibrating role is played by the cost of the project.

Step 3: Equalisation of criteria – pair tradeoffs

In a consistent manner the descriptions of each criterion are attempted to be redefined by trading off between them and stating our preferences. This trade-off procedure provides means to compare any two points without sketching the whole preference function. Through the process of making pair tradeoffs among valued criteria, one alternative is discovered to be superior to the other. The following question may help in trade-off thinking: “how much of this would I give up in return for that?”

Example: Suppose we have to choose a job from five alternatives.

Step 1:

Characteristic	Job				
	I	II	III	IV	V
Salary	B	A	C	B	B
Leisure	C	C	D	A	B
Working conditions	C	A	B	C	C
Colleagues	C	B	B	A	A
Location	A	A	A	B	B

The choice has come down to II and IV.

Step 2:

The table with initial comparison provides a valuation and description of each characteristic. W_{II} and W_{IV} are paragraphs of description of working conditions (e.g. W_{IV} stands for little direct contact with clients, assignment to a single type of work, half a secretary, and inside an office).

The initial comparison.		
Characteristic	Alternative jobs	
	II	IV
Salary	20 000	18 000
Leisure	5	8
Work. Condit.	WII	WIV
Colleagues	CII	CIV
Location	LII	LIV

Step 3:

Then the question is asked, how much of the \$20 000 salary offered by job II would be given up in return for 3 additional hours of leisure time per day. It is decided that up to \$3 000. In other words a job (alternative II') that has 3 more hours leisure, or 8 total, and \$3 000 less salary, or \$17 000 total is acceptable.

Equalized leisure.		
Characteristic	Alternative jobs	
	II'	IV
Salary	17 000	18 000
Leisure	8	8
Work. Condit.	WII	WIV
Colleagues	CII	CIV
Location	LII	LIV

This process is repeated with next attribute, working conditions. The working conditions of II were superior to those of IV (see table in step 1). How much of the salary would be forgone if the working conditions could be the same? Let us assume up to \$2000 or alternative IV'. This process continues with colleagues and location so that all attributes except salary have been equalised.

Equalized leisure and working conditions.		
Characteristic	Alternative jobs	
	II'	IV'
Salary	17 000	16 000
Leisure	8	8
Work. Condit.	WII	WII
Colleagues	CII	CIV
Location	LII	LIV

Trade-offs have been made in such a way that there is no difference between original alternative II and equalised alternative II". Similarly, there is no difference between IV and IV". But since II" is preferred to IV", it can be concluded that II is preferable to IV.

All attributes equalized except salary.		
Characteristic	Alternative jobs	
	II"	IV"
Salary	15 000	14 000
Leisure	8	8
Work. Condit.	WII	WII
Colleagues	CIV	CIV
Location	LII	LII

Source: From A Primer for Policy Analysis by E. Stokey and R. Zeckhauser, pp. 127-130.

Policy Analysis - Resource Materials

Books

Basic Material (A comprehensive introduction to the principles of public policy analysis and to the major decision-making techniques and tools used by analysts, with no need for a background in mathematics or economics.)

Bardach, Eugene. *Policy Analysis: A Handbook for Practice*. Berkeley: Berkeley Academic Press, 1996.

Dunn, William N. *Public Policy Analysis: An Introduction*. 2nd ed., Englewood Cliffs: Prentice Hall, 1994.

Geva-May, Iris and Aaron Wildavsky. *An Operational Approach to Policy Analysis: The Craft*. Massachusetts: Kluwer Academic Publishers, 1997.

Gupta, Dipak K. *Decisions by the Numbers: An Introduction to Quantitative Techniques for Public Policy Analysis and Management*. Englewood Cliffs: Prentice Hall, 1994.

Hatry, Harry et al. *Program Analysis for State and Local Governments*. 2nd ed., Washington, D.C.: The Urban Institute, 1987.

House, Peter W. *The Art of Public Policy Analysis*. California: Sage Publications, 1982.

Hogwood, Brian and Lewis Gunn. *Policy Analysis for the Real World*. New York: Oxford University Press, 1984.

Meltsner, Arnold J. *Policy Analysis in Bureaucracy*. Berkeley: UC Press, 1976.

Pal, Leslie A. *Public Policy Analysis, An Introduction*. 2nd ed. Scarborough, Ontario: Nelson Canada, 1992.

Patton, Carl V. and David S. Sawicki. *Basic Methods of Policy Analysis and Planning*. Englewood Cliffs: Prentice Hall, 1986.

Quade, Edward S. *Analysis for Public Decisions*. 2nd ed. North Holland: Elsevier Scientific Publishing Co., 1982.

Stokey, Edith and Richard Zeckhauser. *A Primer for Policy Analysis*. New York: Norton&Company, 1978.

Individual Methods and/or Techniques (Advanced resource materials focusing on a particular technique or a set of techniques for one method.)

Dery, David. *Problem Definition in Policy Analysis*. Kansas: University Press, 1984.

Haveman, Robert H. and Julius Margolis, eds. *Public Expenditure and Policy Analysis*. 2nd ed. Chicago: McNally College Pbl., 1977.

Chelimsky, Eleanor. Ed. *Program Evaluation: Patterns and Directions*. Washington DC: APSA, 1985.

Mayne, J; M.L. Bemelmans-Videc; J. Hudson and R. Conner, eds. *Advancing Public Policy Evaluation: Learning from International Experiences*. Amsterdam: Elsevier Science Publishers, 1992.

Mishan, E.J. *Cost-Benefit Analysis: An Informal Introduction*. 3rd ed. New York: Prager, 1976.

Raiffa, Howard. *Decision Analysis*. Reading, Mass.: Addison-Wesley, 1968.

Rossi, Henry and Howard Freeman. *Evaluation: A Systematic Approach*. Newbury: Sage Publications, 1993.

Schlaifer, Robert. *Analysis of Decisions Under Uncertainty*. New York: McGraw Hill, 1969.

Wagner, Harvey M. *Principles of Operations Research*. 2nd ed. Englewood Cliffs: Prentice Hall, 1975.

Williams, Walter ed. *Studying Implementation: Methodological and Administrative Issues*. New Jersey: Chatham House, 1982.

Concepts on Policy and Policy Analysis

Buchanan, James M. *The Demand and Supply of Public Goods*. Chicago: Rand McNally, 1968.

Kingdon, John. *Agenda, Alternatives and Public Policies*. 2nd ed. Glenview: Scott, Foresman and Co., 1995.

Weimer, David L. and Aidan R. Vining. *Policy Analysis: Concepts and Practice*. 3rd ed. New Jersey: Prentice Hall, 1999.

Wildawsky, Aaron B. *The Art and Craft of Policy Analysis*. London: Macmillan Press Ltd., 1979.

Periodicals

Administrative Science Quarterly
 American Economic Review
 American Journal of Sociology
 Behavioural Science
 European Journal of Political Research
 Journal of Policy Analysis and Management
 Journal of Political Economy
 Journal of Public Policy
 Journal of Urban Analysis
 Law and Policy Quarterly
 Policy Analysis
 Policy Sciences
 Policy Studies Review
 Political Science Quarterly
 Public Administration Review
 Public Budgeting and Financial Management
 Public Policy Journal
 Research in Public Policy Analysis and Management
 Studies in Public Policy

Useful websites:

<http://mscmga.ms.ic.ac.uk/jeb/or/contents.html>

Advanced applications of decision trees, linear programming, forecasting and other quantitative and analytical tools with case studies for self-testing.

http://www.rff.org/proj_summaries/files/kopp_bencost_primer.htm

A comprehensive compilation of discussion papers that summarise the state of knowledge about benefit-cost analysis and offer suggestions for improvements, especially in the context of environment.

http://www.findarticles.com/m1076/4_41/54711394/p1/article.jhtml

Paper on benefit cost analysis merits in assessing environmental programs.

<http://csf.colorado.edu/ecolecon/benefit-cost-analysis/date.html>

Discussion forum on benefit cost analysis.

<http://ubmail.ubalt.edu/~harsham/index.html>

A collection of teaching and research resources on various topics related to analytical modelling techniques.

<http://sensitivity-analysis.jrc.cec.eu.int/default.htm>

This site is a forum to exchange information, ideas and tools about sensitivity and uncertainty analysis. Users can directly upload questions, references, articles, links, algorithms and events. The site is moderated by the Applied Statistics group at the Joint Research Centre.

<http://eies.njit.edu/~turoff/Papers/delphi3.html>

Comprehensive paper on basic similarities and differences in conducting a pen and paper Delphi and a computerised Delphi. Gives a good overview of the technique with useful hints.