Policy Formulation and Implementation in the Information Age:

Towards an Evidence-based Approach to E-Government Policy Making and Change Management:

Caribbean Center for Development Administration (CARICAD)
and the
United Nations Department for Economic and Social Affairs (UNDESA)
in collaboration with the
United Nations Educational, Scientific and Cultural Organisation (UNESCO)

Agenda:

Part 1. Overview of Electronic Government

Agenda:

Part 2. Public Policy and Governance

2.1 What is Public Policy?

2.2 Politics and Public Policy

2.3 Elements of Public Policies

2.4 Characteristics of Policy- Making

2.5 How does Policy Emerge, Develop and Change?

2.6 Public Opinion and Policy

Agenda:

Part 3. Policy Stakeholder Analysis

3.1   Analyzing the Roles of Stakeholders

         - The Four "Rs"

3.2   Components of Policy Analysis

3.3   What is needed to get "community"

         into "policy"?

Agenda:

Part 4. Use of Evidence in E-Government Policy Formulation

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4.4 EBP: A Practical Framework

4.5 Challenges to Bridging Research and Policy

4.6 Civil Society Organizations and the Use of Evidence

Agenda:

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5.2 Anticipating & Managing Resistance
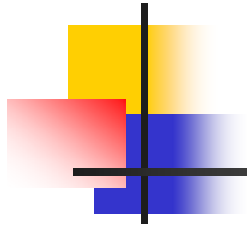
5.3 Creating Safety Nets

5.4 Knowledge into Action
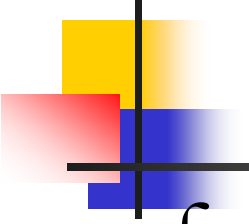
1. Regional E-Government Strategy

- **Vision:** Better government
- **Goals:** Participation, Social Services, Transition to Knowledge Society
- **Domain:** *All* people in the Caribbean Region
- **Context:** Reform of the Public Administration in the Caribbean
- **Focus:** Institutional and Human Resources Capacity Building

Aims

- to support the advancement into information & knowledge based societies

- advance efforts towards the contribution of ICT to enhancing government operations and ultimately good governance.

- open channels for more effective citizen participation, making government more accessible

Aims

- reform of public administration, increasing the efficiency and effectiveness of public services

- making public administration leaner, flatter and capable of cross-departmental collaboration

- promote the use of ICT for Development: Bridging the *"Divide"*
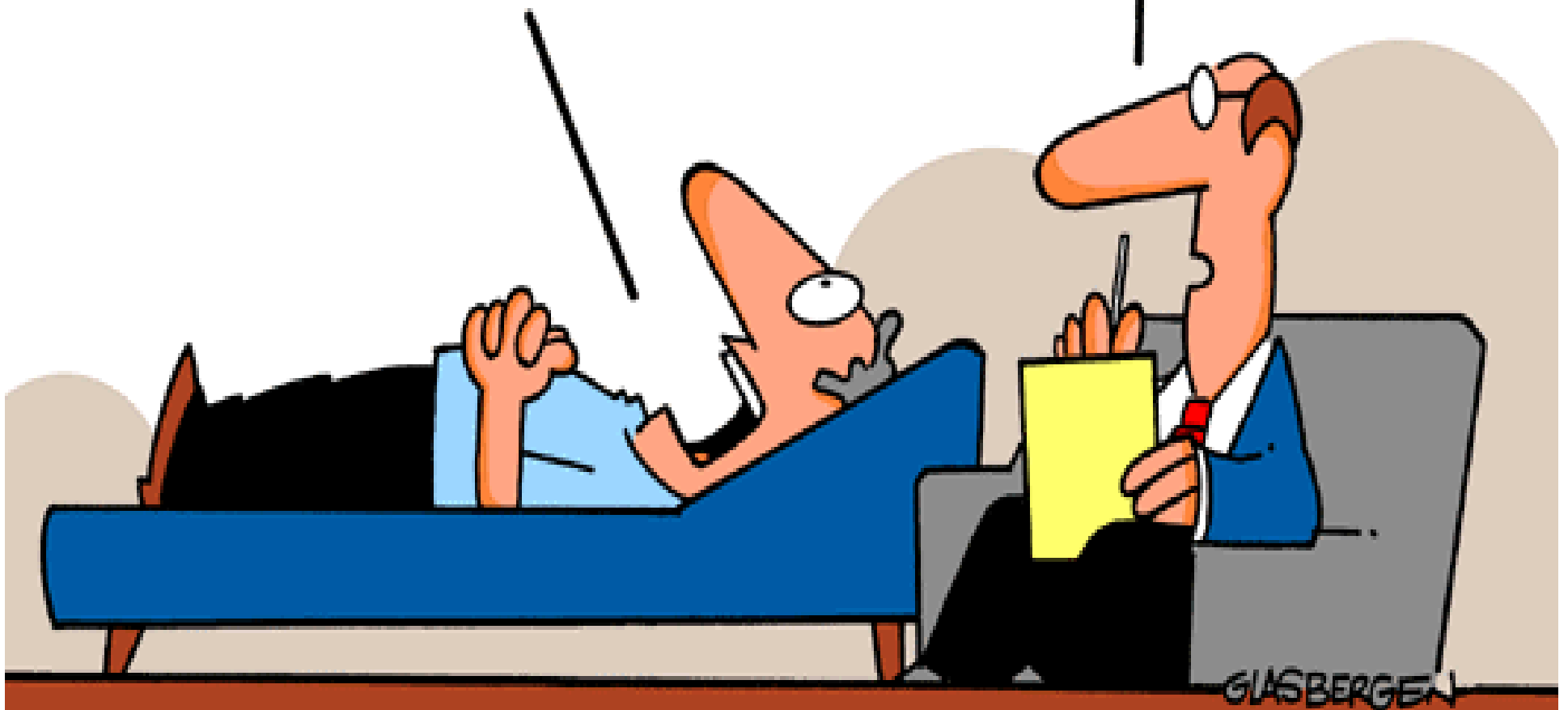
"I just found a place on the Internet where I can download all your work for free. You're fired."

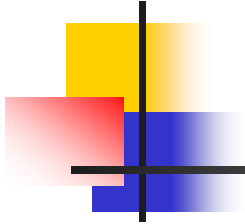# 1.1 E-Government…
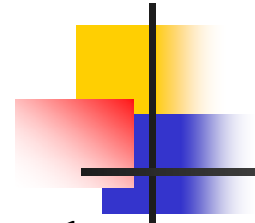
The use of ICT (WANs, the Internet, mobile devices, etc.) that have the ability to transform relations with citizens, businesses, and other arms of government in order to achieve….

- better delivery of government services to citizens;
- improved interactions with business and industry;
- citizen empowerment through access to information;
- more efficient government management.

1.2 Dimensions of E-Government

- <u>G2G & G2E</u> – (E-Governance) application of ICT to intragovernmental operations.

- <u>G2C & G2B</u> - (E-Services) use of ICT to transform the delivery of public services from 'standing in line' to 'online', including the use of ICT to facilitate interactions with businesses

	Government	Business	Consumer
Govt.	G2G	G2B	G2C
Business	B2G	B2B	B2C
Consumer	C2G	C2B	C2C

OECD (2000) E-commerce: Impacts and Policy Challenges

1.3 Stages of Electronic Government
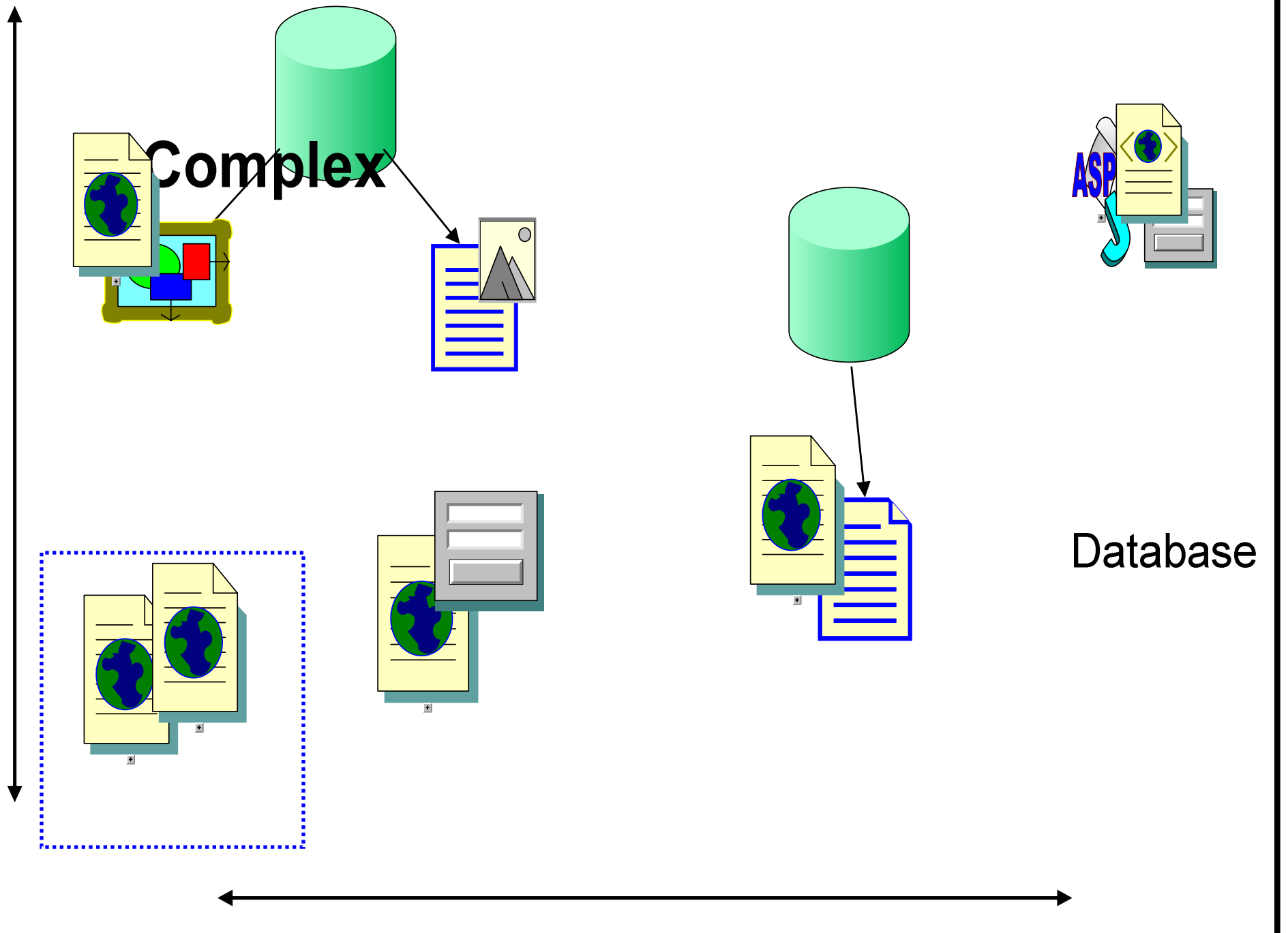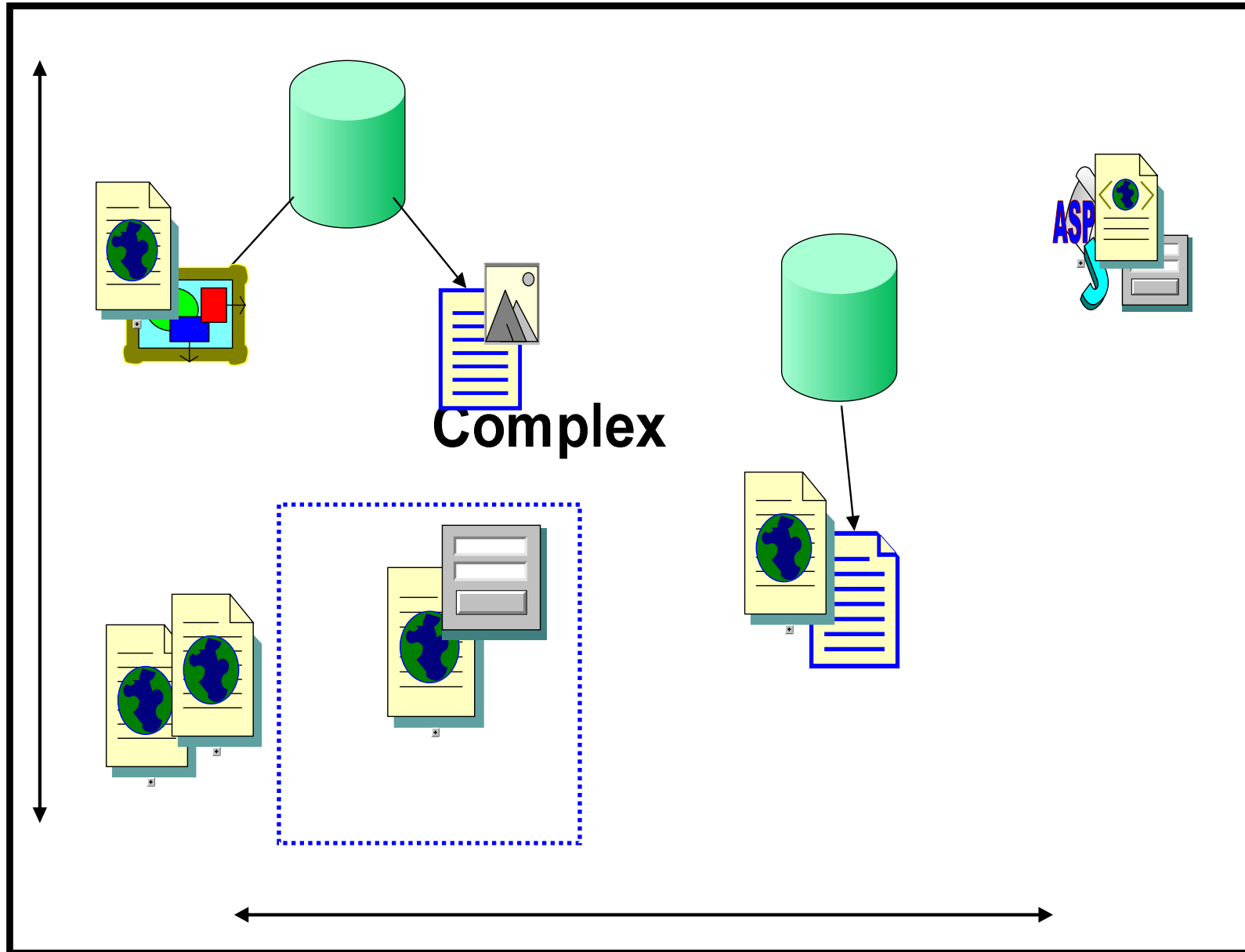
I

C

Virtual Information Space (VIS)

T

D

Ne...to display & access...company products &

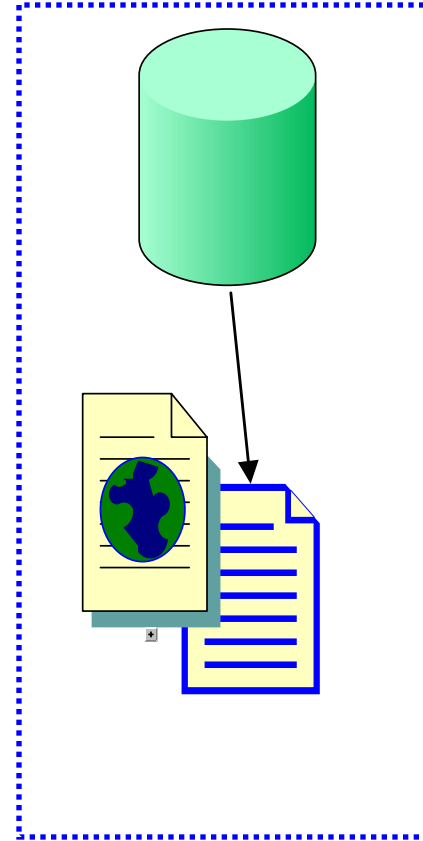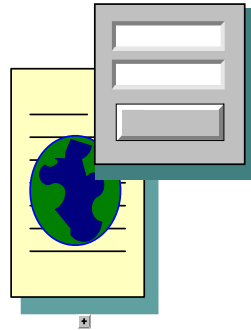# 1.3 Stages of Electronic Government

Use of Web-Based Applications

High

Complex

Database

Complex

Databas
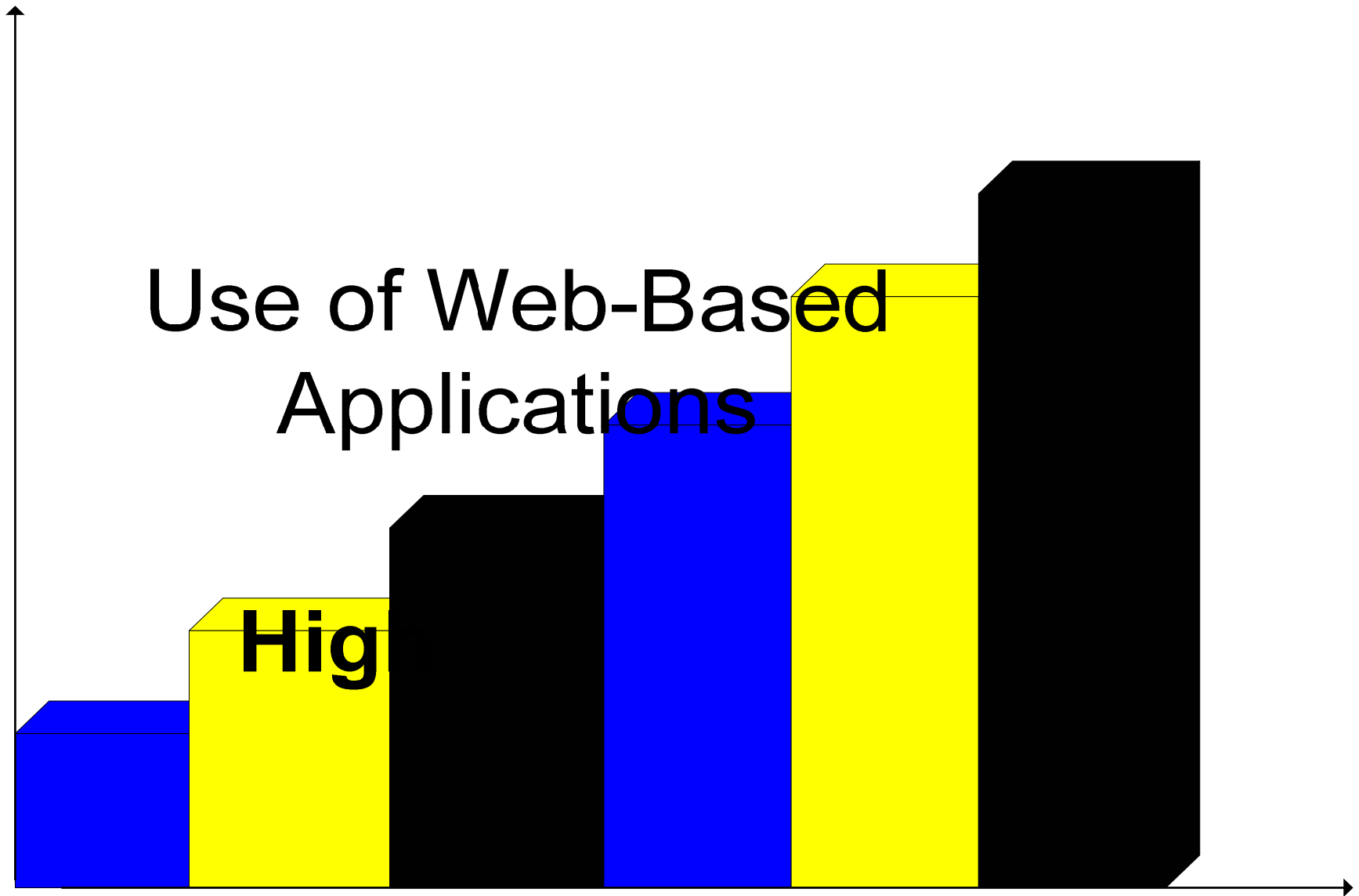
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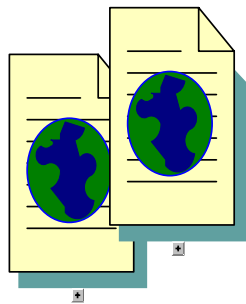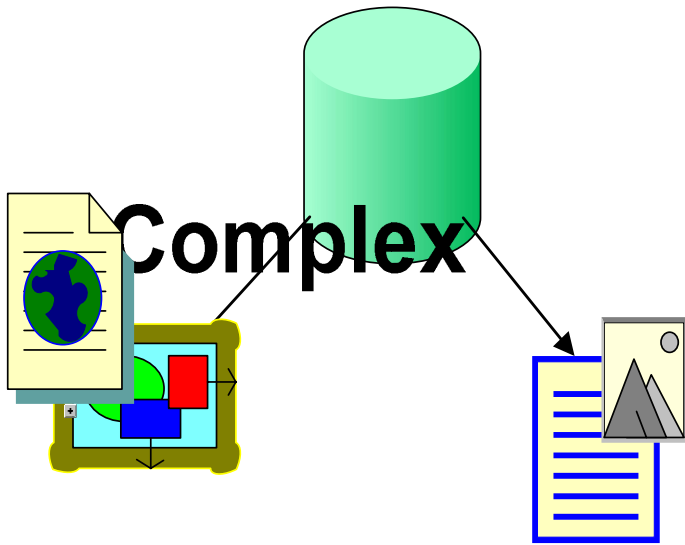
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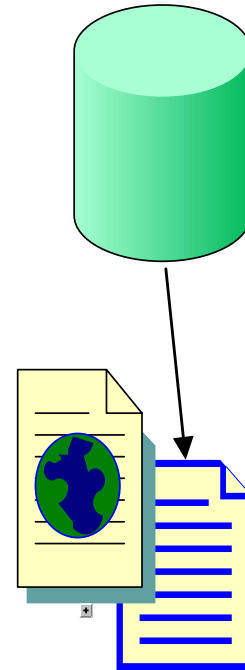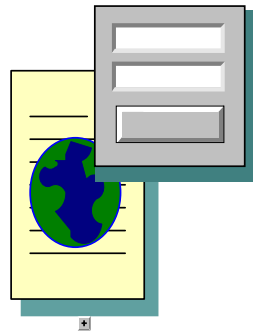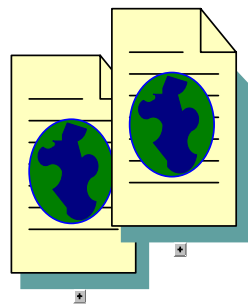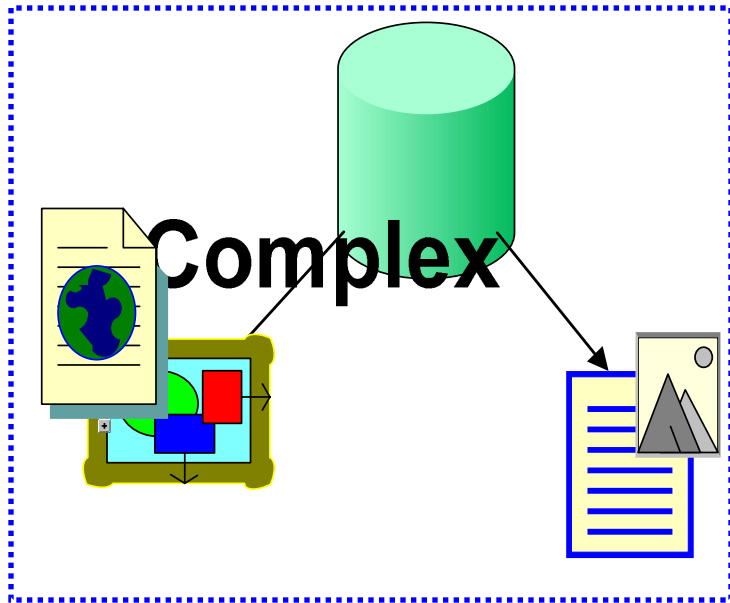
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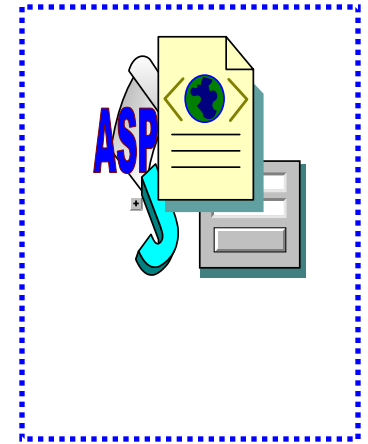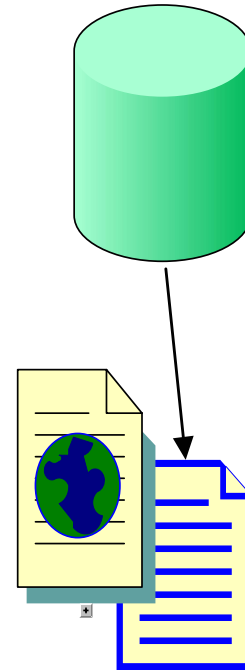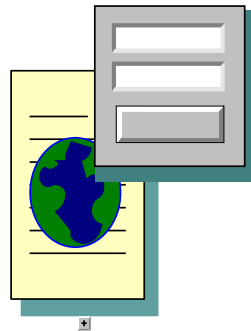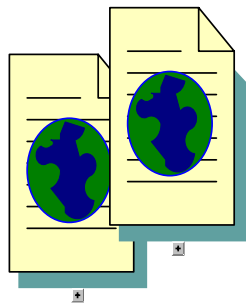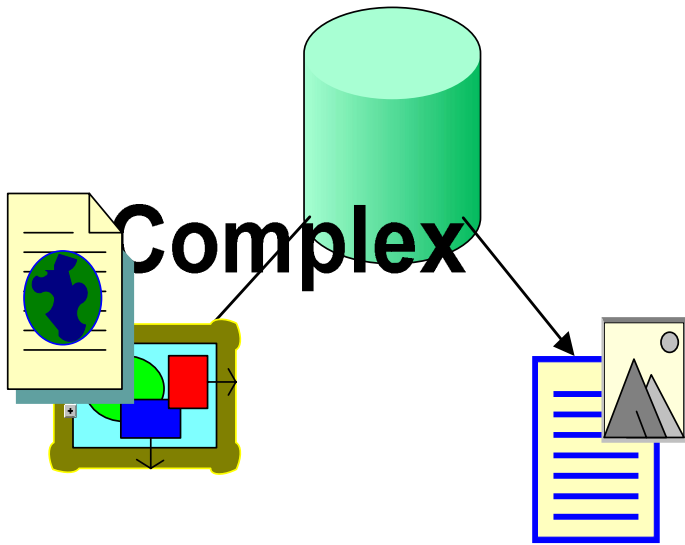
Database

Complex

Database

Description of Levels of Complexity

Categories of Web Sites	Description
Pure Static Web Site	Collection of static web pages created in HTML and linked together. The emphasis is on information provided and the presentation and layout of that information.
Static with Entry Form	Limited interactivity via fill-in Forms, used to collect information from the user, including comments or requests for information.
Dynamic Data Access via Site	Web Site is used as a front end for a database. Users can search and perform queries on the contents of the database.
Dynamically Created Site	Provides customized pages and content based on user preferences in order to foster a one-to-one marketing relationship.
Web-Based Application	Web sites that facilitate business processes based on software applications running in a client/server environment

Adapted from Powell (1998)

What good is technology if it takes <u>six</u> <u>seconds</u> to send a message but <u>six</u> <u>months</u> to get someone to act on it?!"

The IT Productivity Paradox
Annual Change in Office, Computing and Accounting Machinery Investment and Output per Worker, US 1965-95

Legend:
- U.S. OCAM Investment per Worker[x]
- U.S. Output per Worker

Y-axis: % Annual Change (-10% to 25%)
X-axis: Year (1965 to 1995)

Source: Bureau of Economic Affairs (BEA)
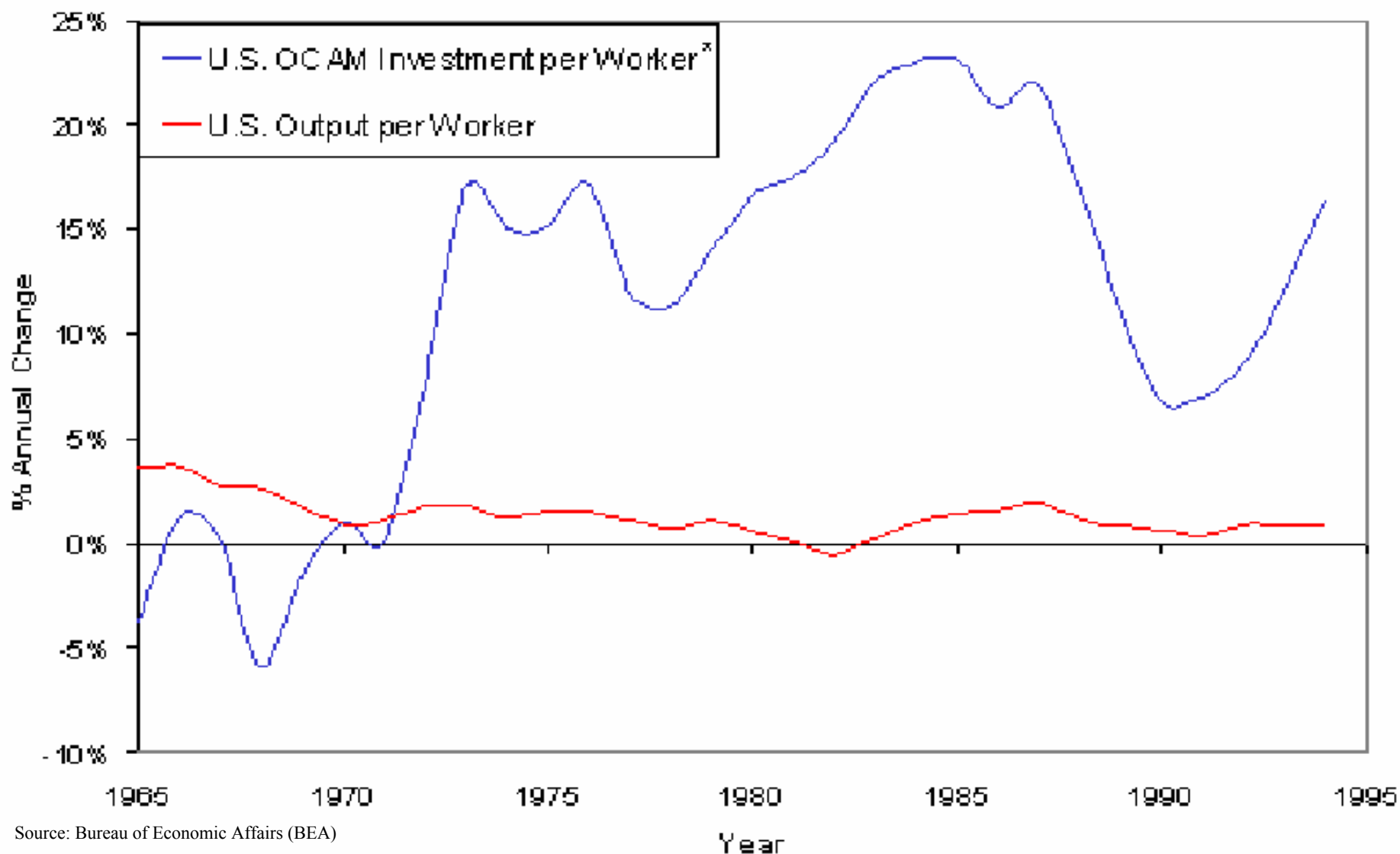
People vs. Process

"__85__ % of all **quality problems** are a result of the *processes* that are in place, not because of the *people* who operate within the processes."

--Joseph M. Juran

Goal: Doing the Right Things RIGHT!

"There is nothing so useless

as doing *efficiently* that which

should not be done at all."

Peter F. Drucker

How Do We Solve A Problem?

- **Inspection**
- **Auditing**
- **Fire Fighting**
- **New Policy or Procedure**
- **Throw Money at It!**

Customer Expectations/Requirements

Why the Gap?

Output of the Process
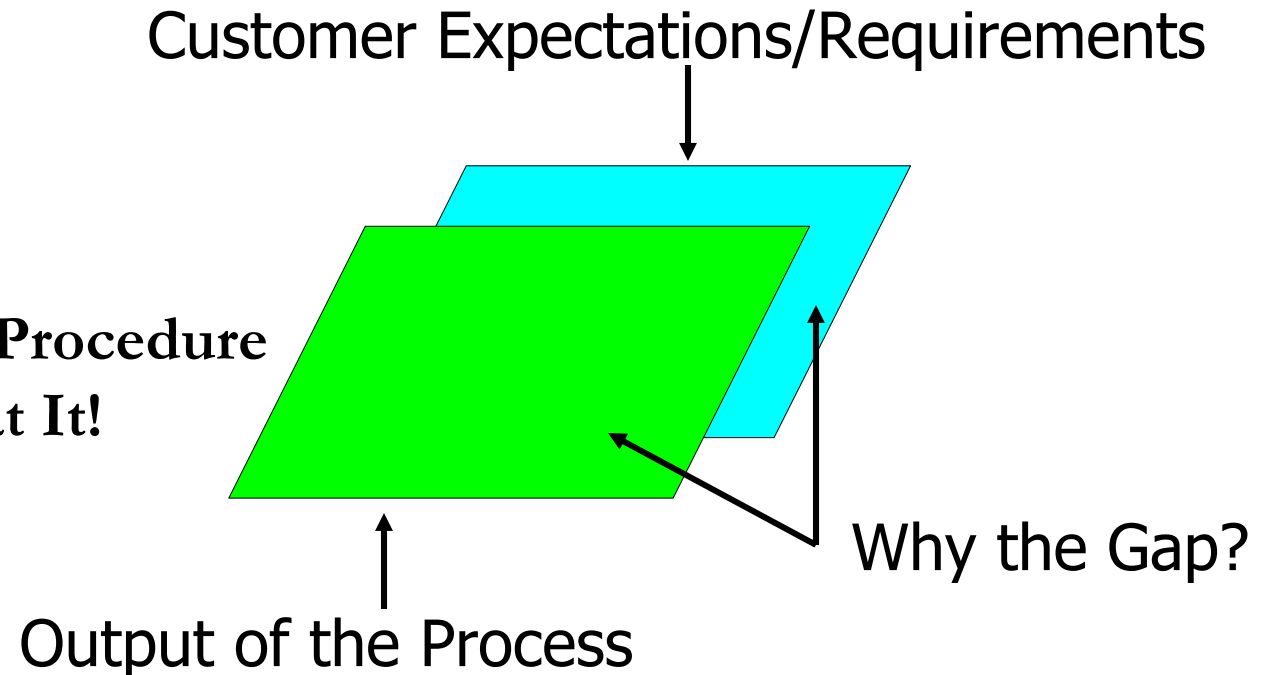
What Causes A Problem?

The Process

People   Methods   Environment

Customer Expectations/Requirements

Machines   Materials

Why the Gap?

Output of the Process
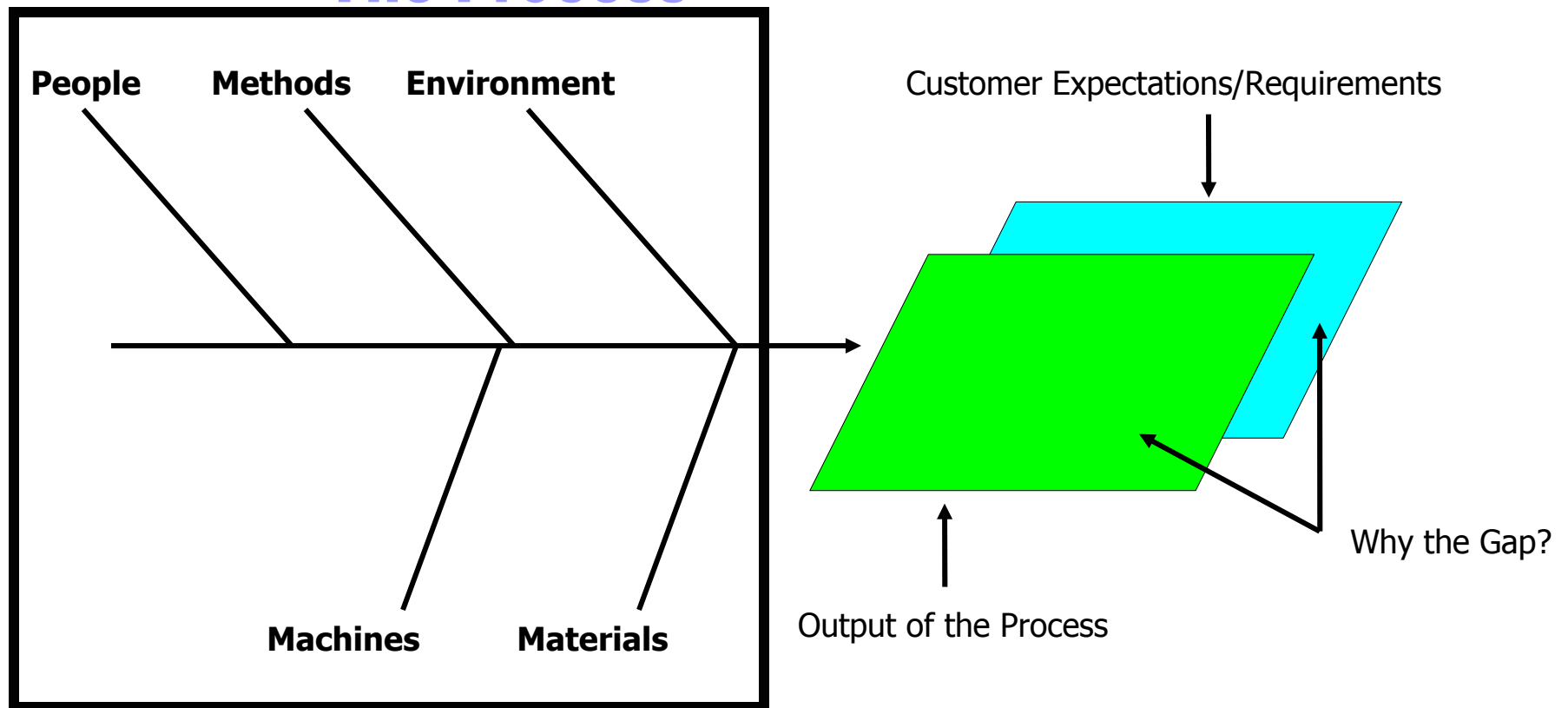
How Should We Solve A Problem?

Customer Expectations/Requirements

Remove the Cause!

Why the Gap?

Output of the Process
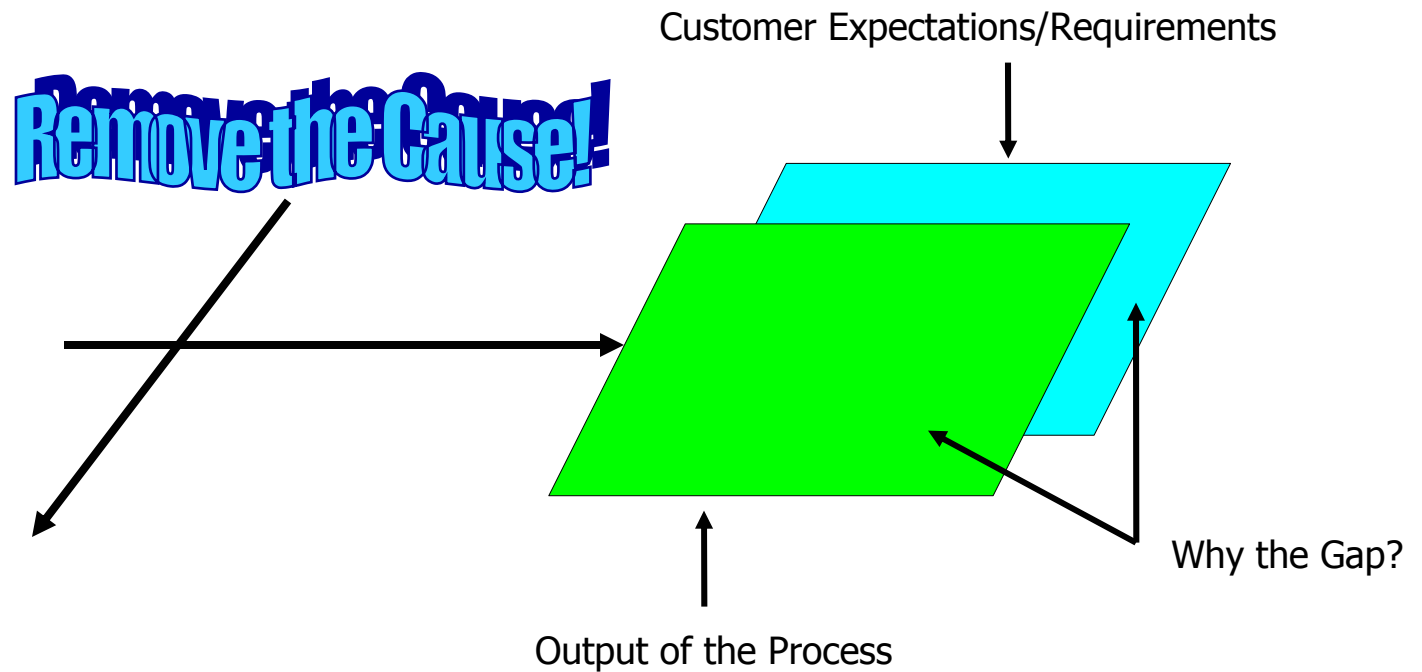
Focus on the Process!

Variation in the Process

Supplier	Dept A	Dept B	Dept C

Customer Expectations/Requirements

Why the Gap?

Output of the Process
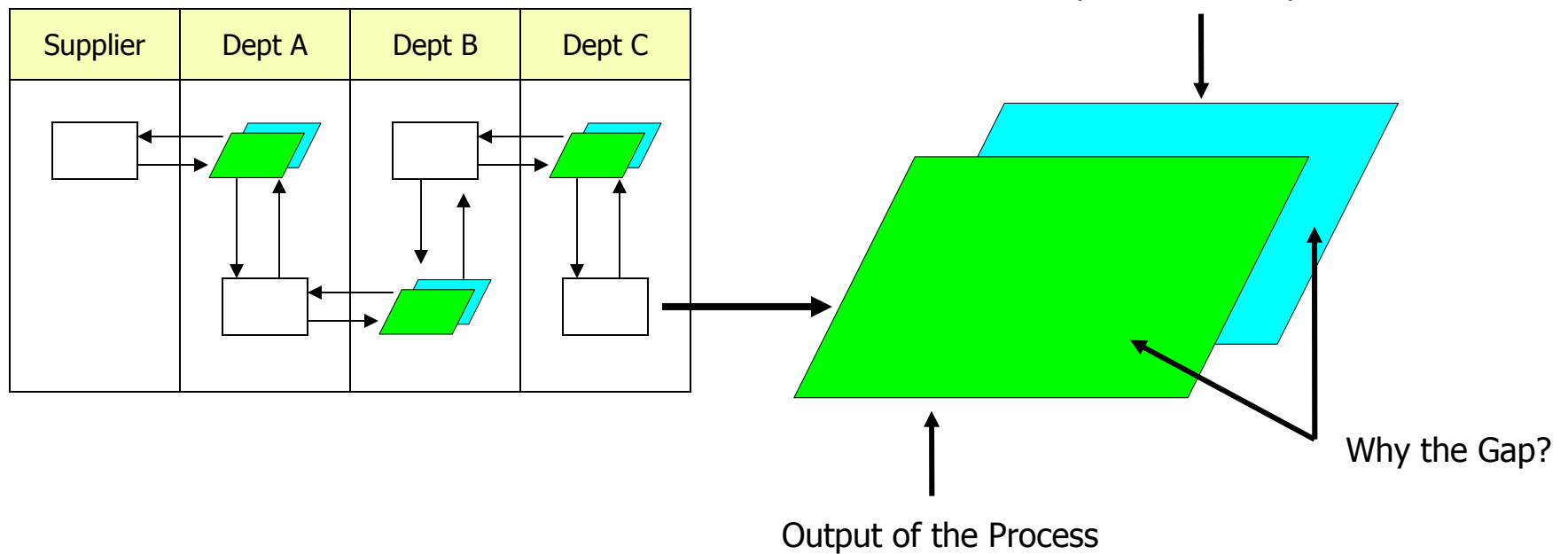
Definition

Process

A _series_ _of_ _steps_ completed to produce something a **Customer** wants.

1.3 Stages of E-Government 'Organizational Lag'

- Process change in organisations tends to lag behind Technological change

- Technological change:
  - are more observable/visible;
  - have higher 'trialability';
  - are perceived to be relatively more advantageous and less complex than administrative changes.

'Organizational Lag'
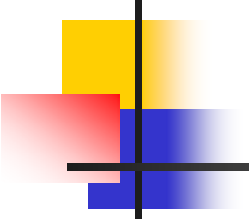
- Between **administrative** or **process** innovation and **technical** or **technological** innovation on the other hand.

- **Technological innovation** should be an **enabler** of **process innovations** which lead to greater organisational efficiency and effectiveness.

1.4 ICT & the Public Sector
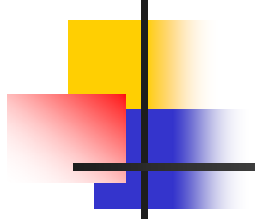
- "The credibility of any ICT policy is to a large extent dependant on the government sector's own efforts towards the effective deployment and use of these technologies."

1.4 ICT & the Public Sector

- As a major employer, service provider and consumer, Governments are also in the best position to initiate and sustain the spread of ICT applications in the other sectors and the subsequent growth of ICT industries."

1.4 ICT & the Public Sector

"This requires the application of ICT in all administrative procedures and related **reengineering** (Process Change) with a view to turn them more **cost-effective** and **customer oriented**, overcoming when necessary **existing boundaries**…"

OECS Consulting Services in ICT: Final Policy Report, June 2002

Range of Organizational Change

1. AUTOMATION: Using technology to perform current tasks more efficiently & effectively

2. RATIONALIZATION OF PROCEDURES: Streamline Standard Operating Procedures; eliminate bottlenecks

3. **BUSINESS REENGINEERING**: Radical redesign of processes to improve cost, quality, service; maximize benefits of technology

4. PARADIGM SHIFT

RISKS & REWARDS

High

RISK

Low

Paradigm Shifts

Reengineering

Rationalization

Automation

Low   **High**

RETURN

Levels of Organisational Transformation
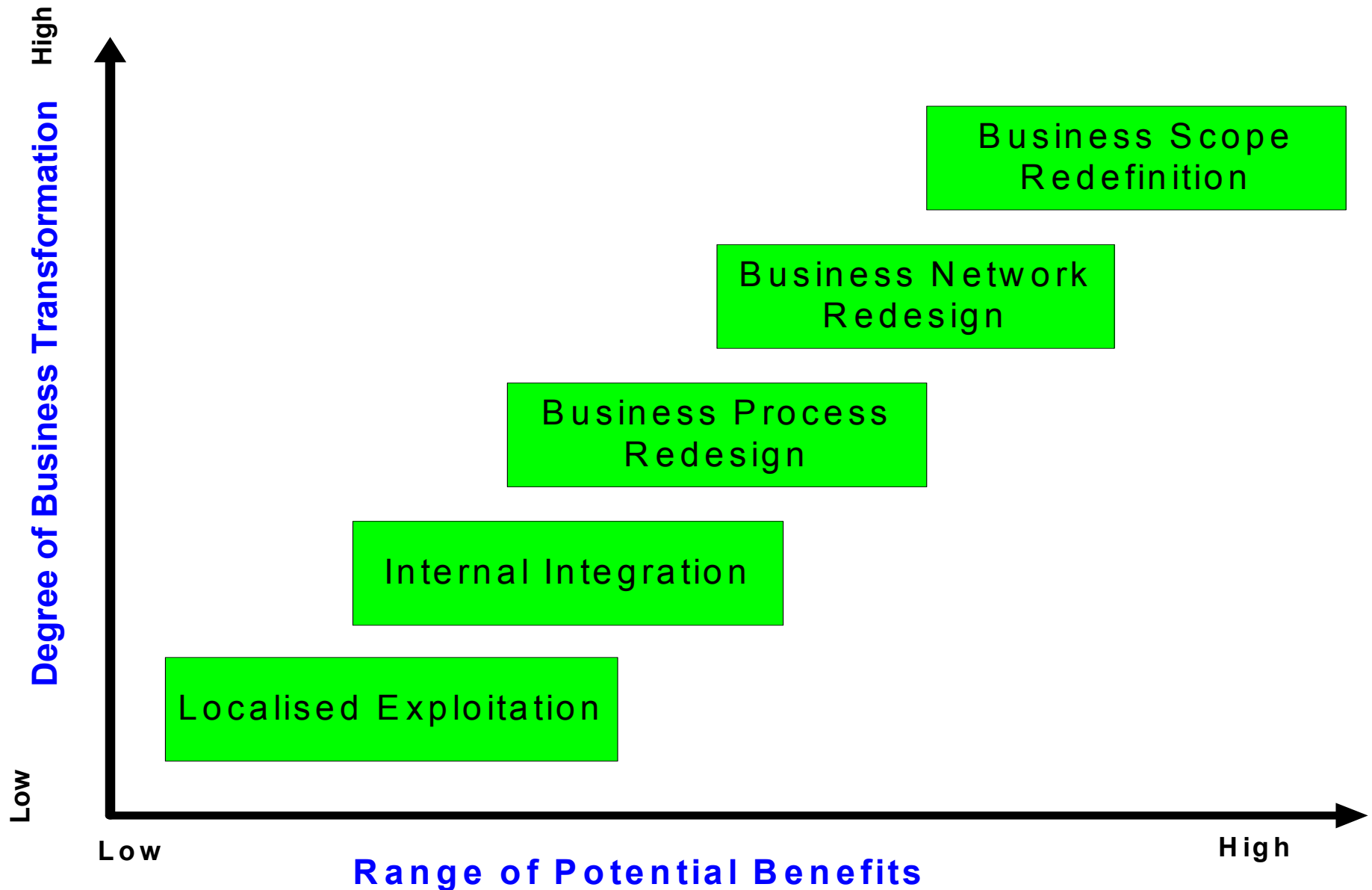
Levels of Transformation	Distinctive Characteristics
Localized Exploitation	Leveraging of IT to redesign focused, high-value areas
Internal Integration	- Use of IT capability to create a seamless organizational process - Encompassing both technical interconnectivity & organizational interdependence
Business Process Redesign	Radical Reengineering of key processes: streamlining, eliminating, standardizing…

Levels of Transformation	Distinctive Characteristics
Business Network Redesign	• Redesign of the nature of exchange among participants in a business network • Coordination, control and to learn from the extended network
Business Scope Redefinition	•Redefining the corporate scope, adjustment of internal activities •New partnerships and alliances along the value chain

Levels of Organisational Transformation

Degree of Business Transformation (vertical axis, Low to High)

Range of Potential Benefits (horizontal axis, Low to High)

- Business Scope Redefinition
- Business Network Redesign
- Business Process Redesign
- Internal Integration
- **Localised Exploitation**
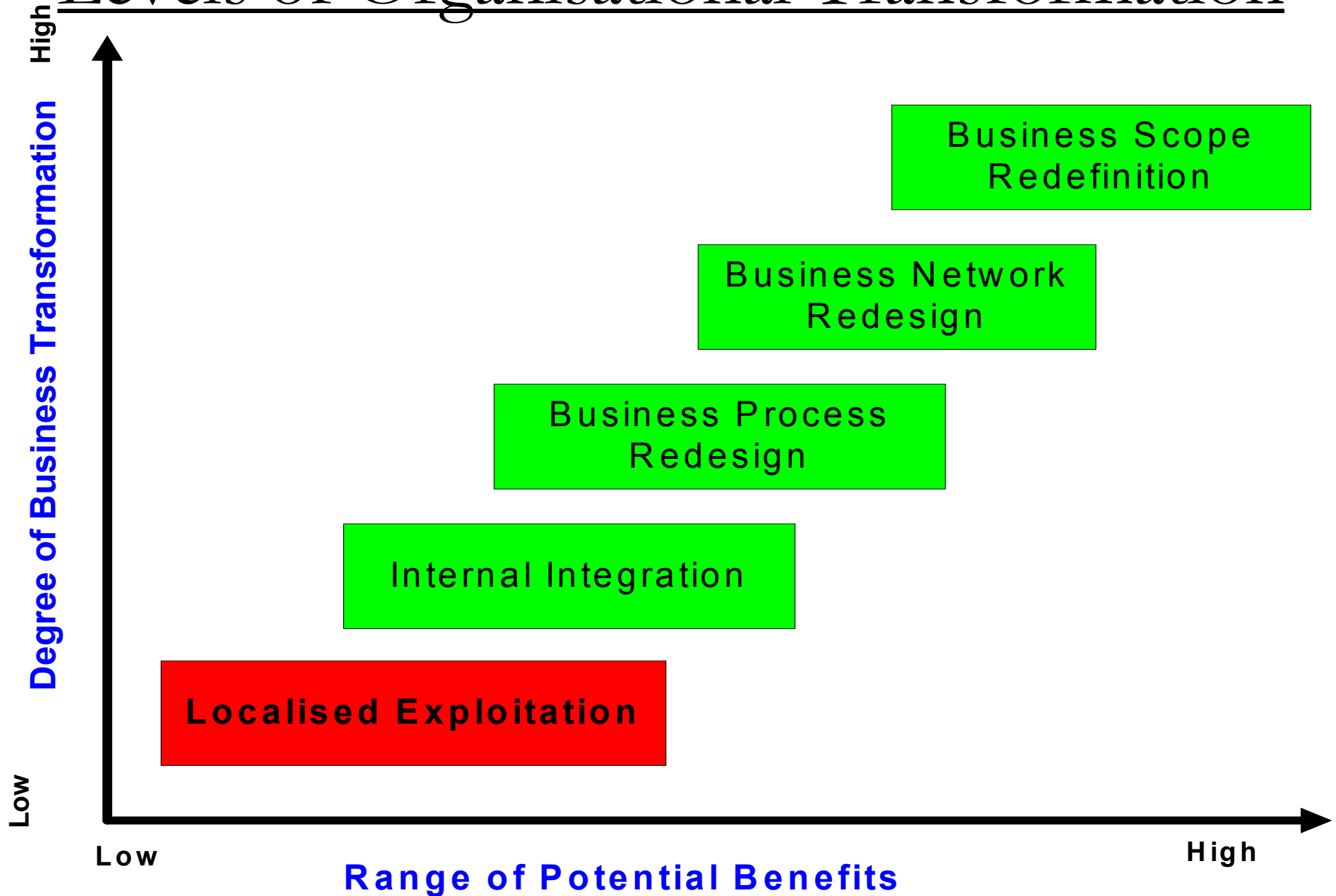
Levels of Organisational Transformation
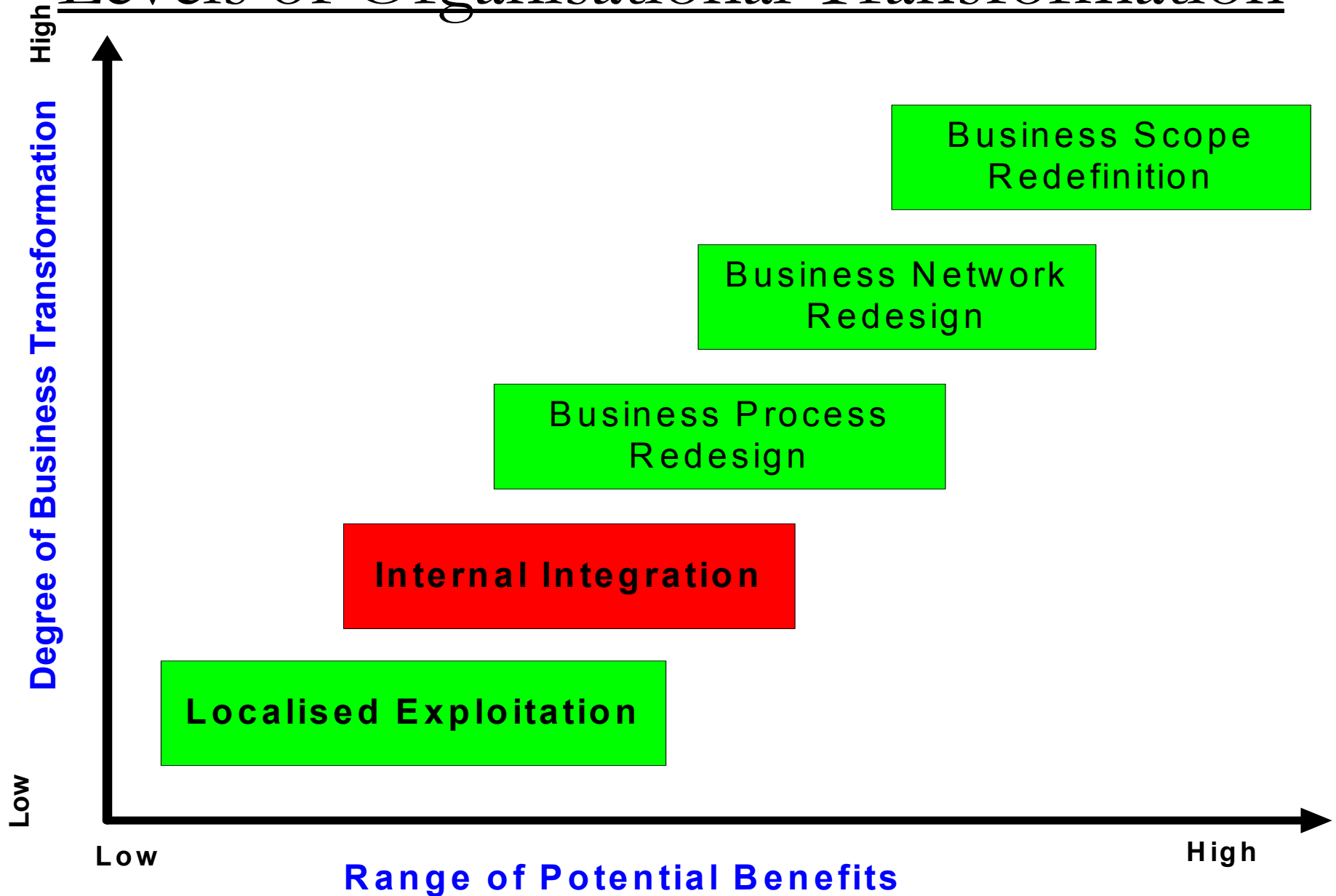
Levels of Organisational Transformation
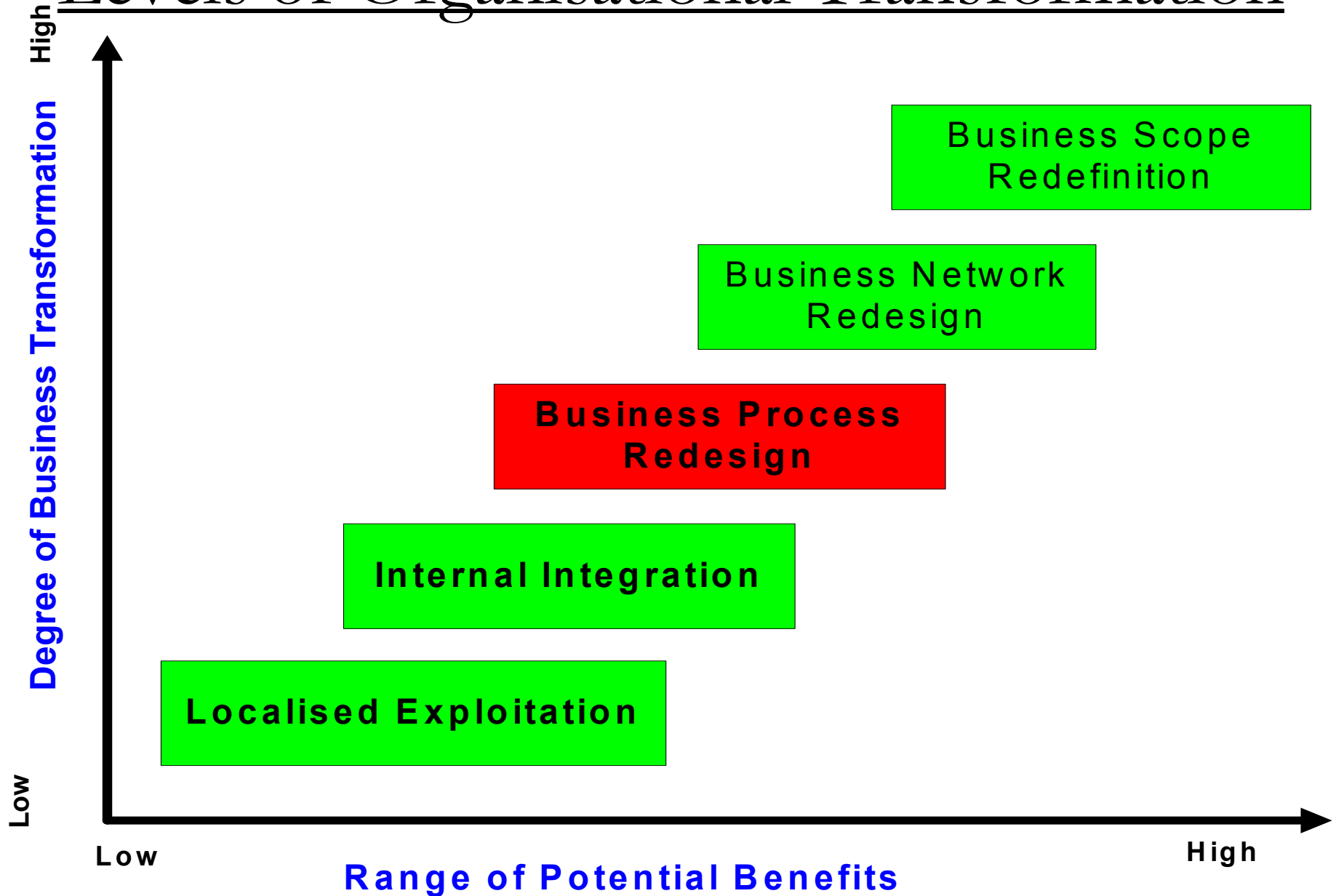
Business Process Redesign

- Reengineering of business processes to <u>fundamentally change information flows & organisational procedures</u>

- Benefits from IT functionality cannot fully be realized when superimposed on current business processes, **however integrated they may be**

Levels of Organisational Transformation

Degree of Business Transformation (vertical axis, Low to High)

Range of Potential Benefits (horizontal axis, Low to High)

- Localised Exploitation
- Internal Integration
- Business Process Redesign
- Business Network Redesign
- Business Scope Redefinition
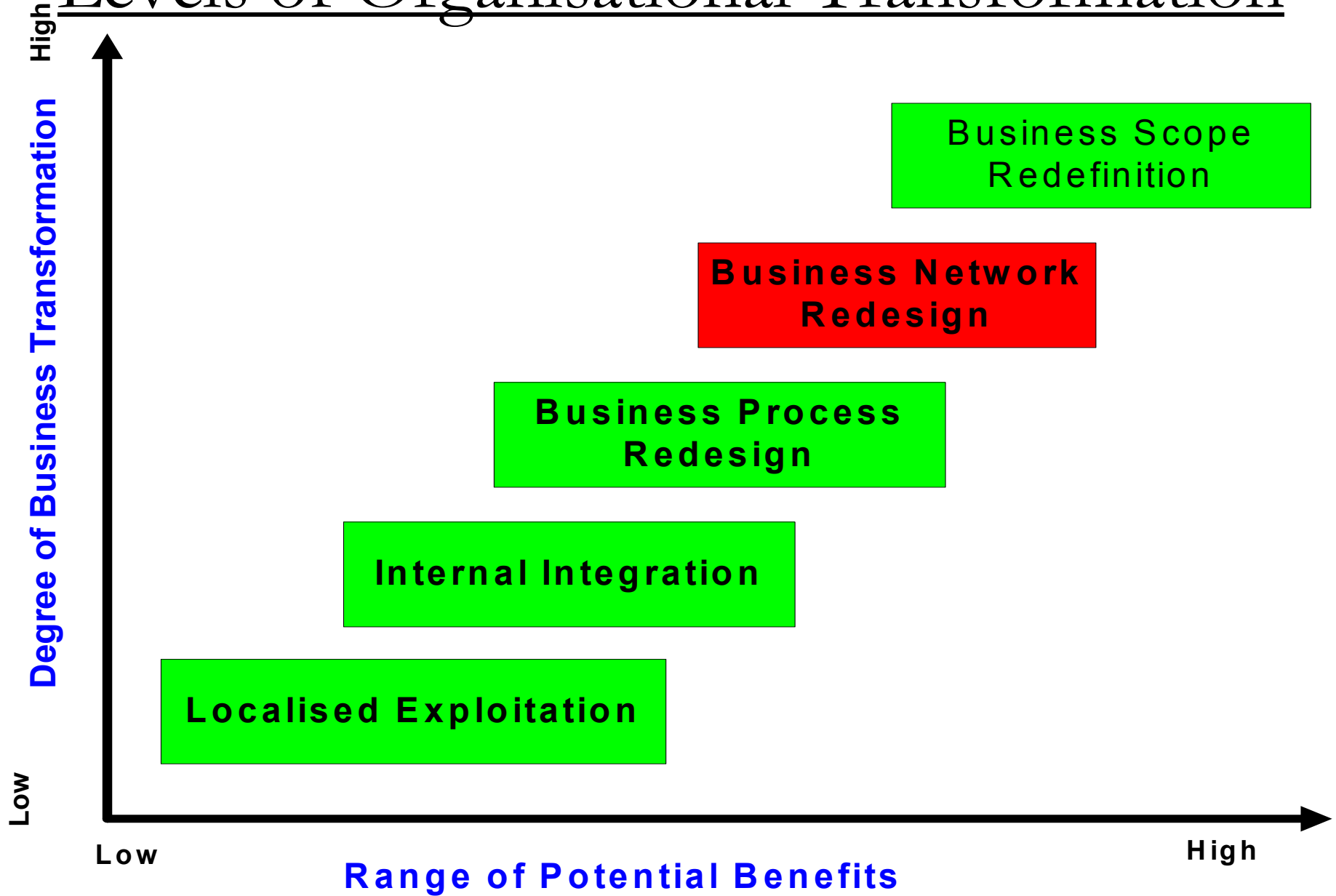
Business Network Redesign

- Elimination of activities where the focal organization may not have the required level of competence

- Exploration & exploitation of sources of competence in the larger business network (beyond what is available within the focal organization)

Levels of Organisational Transformation

High

Degree of Business Transformation

Low

Business Scope Redefinition

Business Network Redesign

Business Process Redesign

Internal Integration

Localised Exploitation

Low

High

Range of Potential Benefits
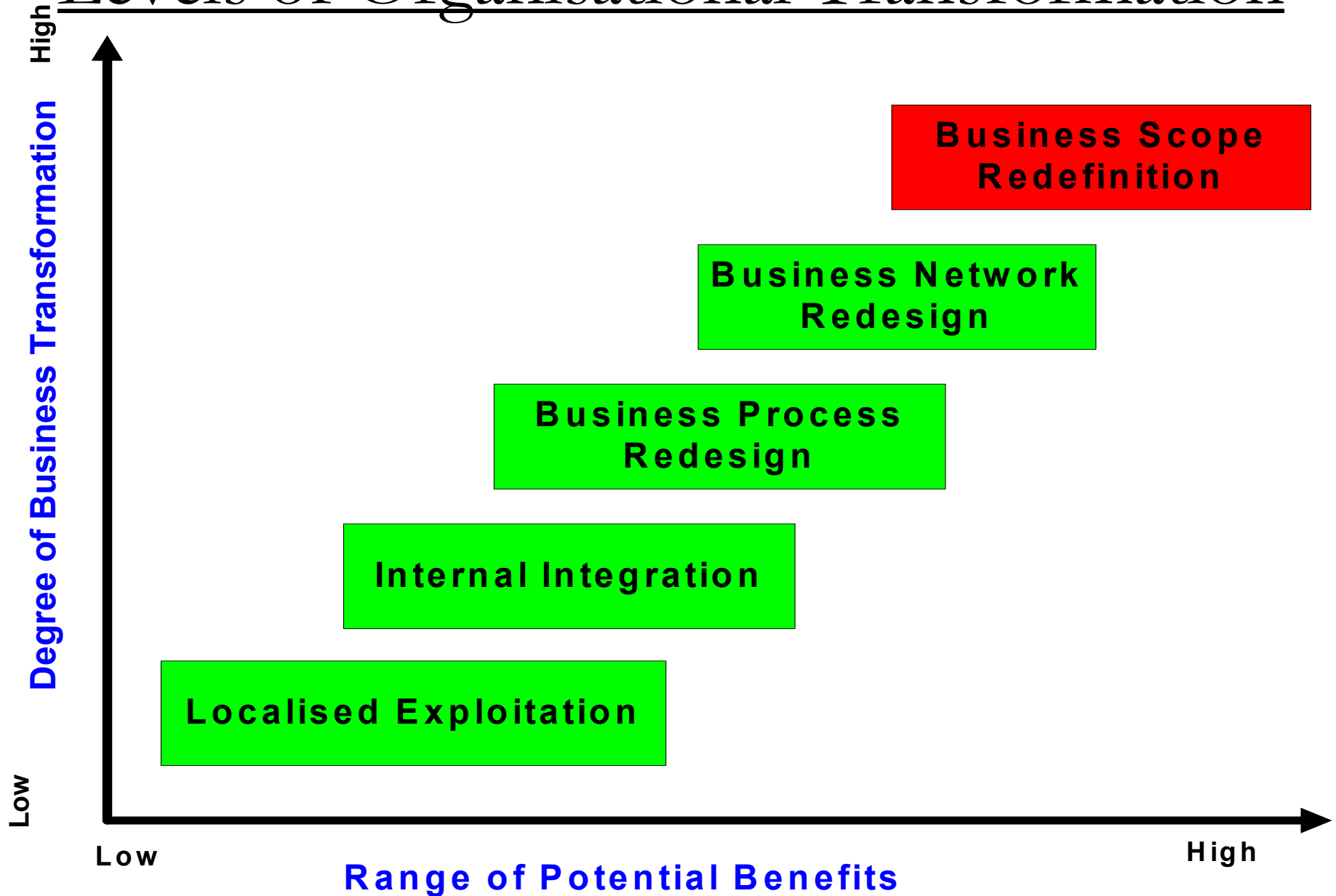
Levels of Organisational Transformation
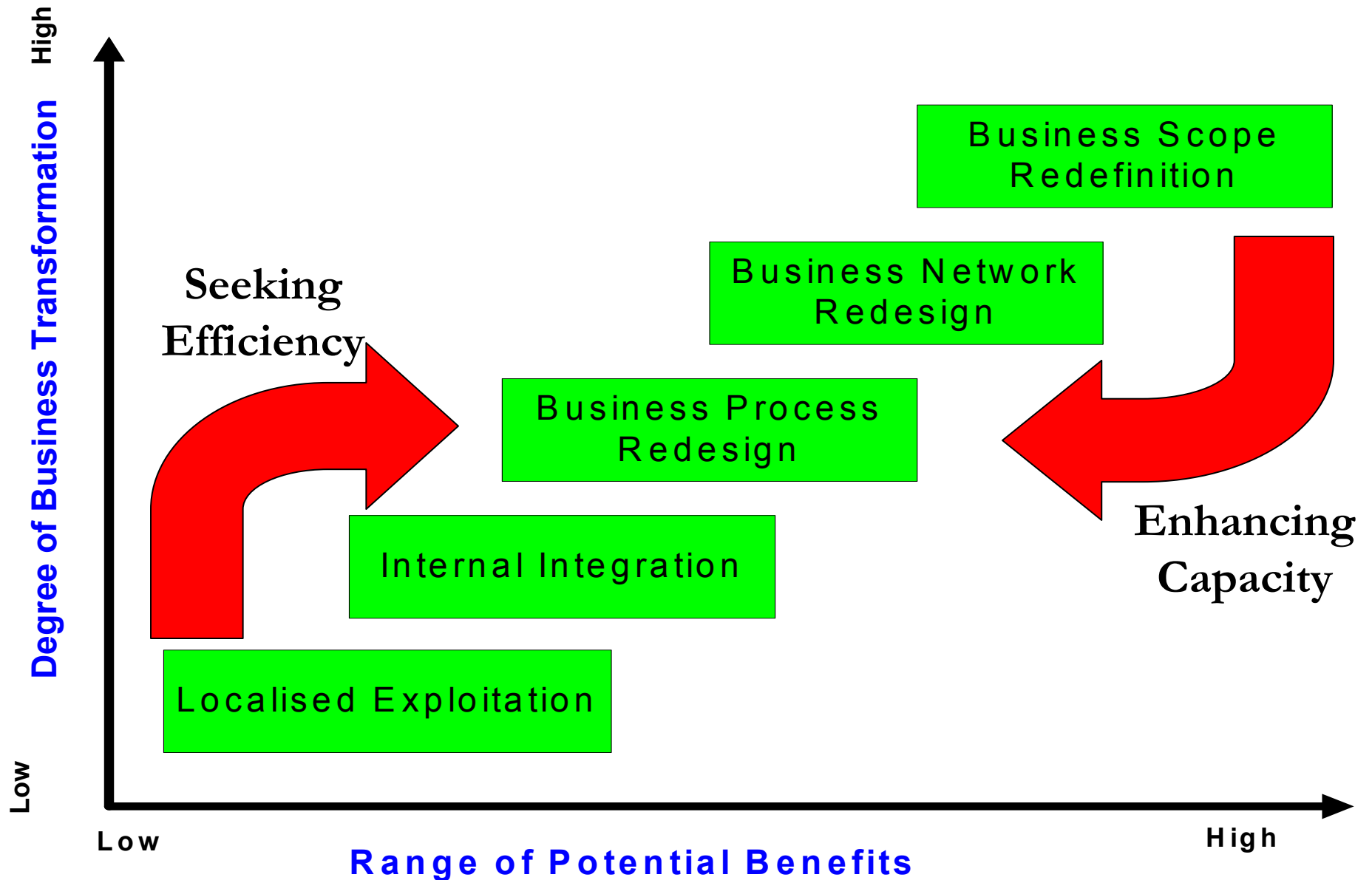
1.5 E-Government: Institutional & Human Resource Considerations

Central IT Unit: Objectives

➢ Implementation, Coordinating, Directing & Monitoring Activities & Plans as Outlined in the National ICT Policy.

➢ Ongoing Development & Championing of Electronic Government & Public Sector ICT Initiatives.

➢ Assist in Building Requisite ICT Capabilities within the Public Service.

Central IT Unit: Activities

- National ICT Policy & E-Government Strategy
- Process Analysis & Process Reengineering
- Develop & Enhance: Data, Information and Knowledge Management Policies and Practices
- Research – Evidence Collection and Analysis
- Training and Capacity Building
- Review and upgrade of databases/systems
- Information Management
- Upgrade and rationalize the use of the Wide Area Network Infrastructure

Streamlining of IT Positions: Classification & Nomenclature

Primary Objectives:

• Attract and retain competent & highly skilled Information Technology Professionals in Public Service;

• Ensure appropriate levels of job satisfaction and motivation, through the provision of clearly defined career paths for upward mobility, consistent with other professional streams in the Public Service.

Streamlining of IT Positions: Classification & Nomenclature

Grades 5-11
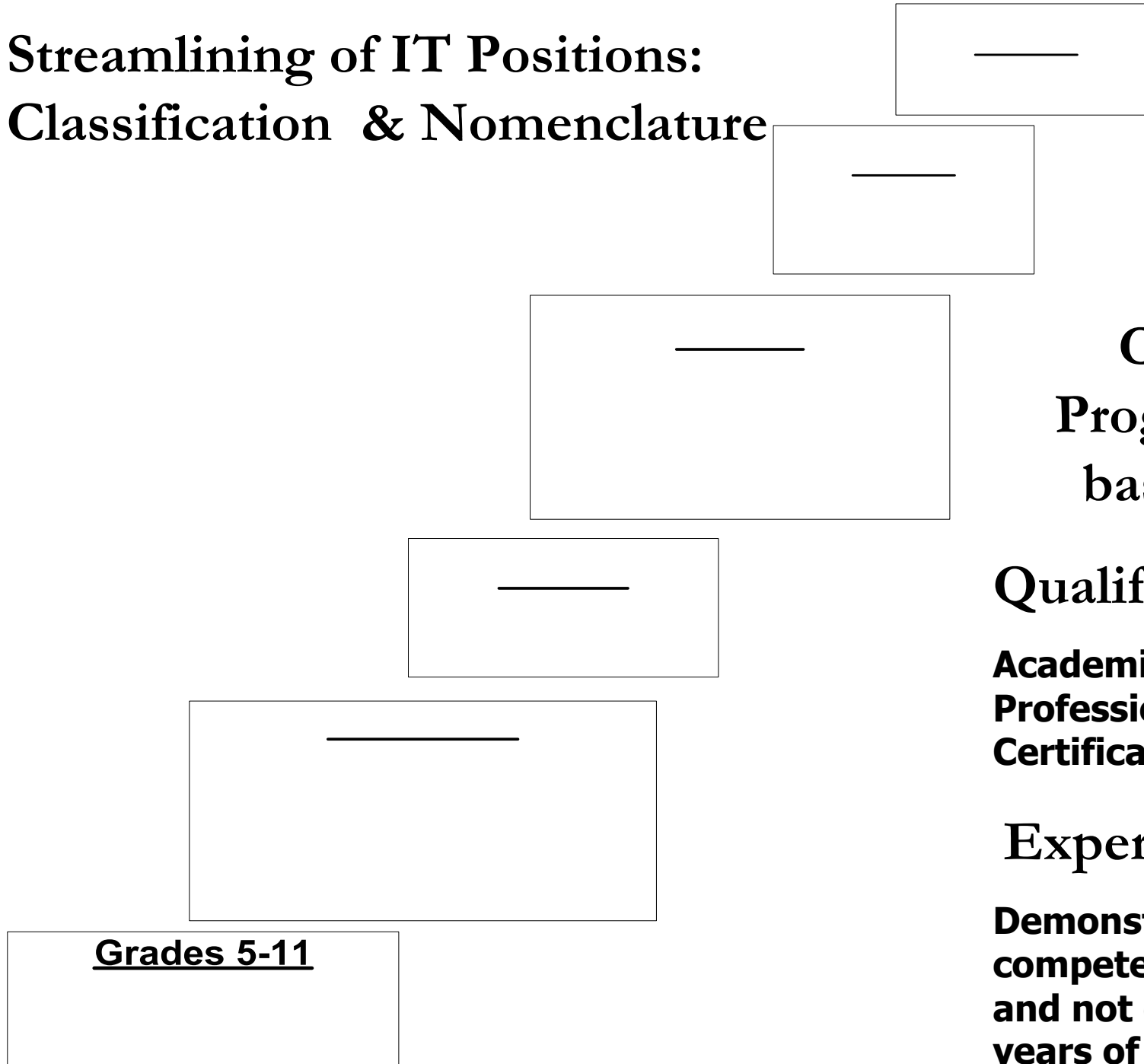
Career Progression based on:

Qualifications:

Academic & Professional Certification

Experience:

Demonstrated competencies, and not only years of service

Agenda:

Part 2. Public Policy and Governance

2.1 What is Public Policy?

2.2 Politics and Public Policy

2.3 Elements of Public Policies

2.4 Characteristics of Policy- Making

2.5 How does Policy Emerge, Develop and Change?

2.6 Public Opinion and Policy

Group Exercise (Parts 2 and 3)

Discuss:

(i) What approaches, tools and techniques you use to influence policy?

(ii) What works?

(iii) If you can, please distinguish between different parts of the policy process: agenda setting, formulation, decision, implementation, monitoring)

2.1 What is Public Policy?

- A course of government action **(or inaction)** taken in response to economic, social, environmental…issues.

- Public policies *generally* reflect society's most important values.

2.1 Public Policy

- Those **public issues** identified for attention by government, and the **courses of action** that are taken to address them (e.g. legislation, regulation, resource allocation, etc.)

- **Public Policy-making** – The process by which governments translate their **political vision** into programmes and actions to **deliver outcomes** - desired changes in the real world

2.1 Public Policies: Impacts

- **What results of policy do people "see"?**

  - Rules and regulations
  - Public/private agencies
  - People and personalities
  - Projects and programmes
  - Lack of policy

2.1 Public Policies: Impacts

- **How do policies affect their livelihoods?**

  - ➢ Assets and people's access to them
  - ➢ Range & viability of options open to people
  - ➢ Vulnerability
  - ➢ Outcomes

2.1 Public Policy

- A ***purposive*** course of action that an individual or group *consistently* follows in dealing with a problem.

- Policies represent a settled course of action or pattern of activity ***over time***, not a single or discrete decision.

2.1 Public Policy

- **Policy Uptake** = Demand *minus* Contestation

- **Demand** refers to policy maker's and societal demand

- **Contestation** to the degree of variance with prevailing ideology and vested interests.

"Non-policies"

- Instances of governments either ignoring a problem or choosing not to deal with it.

- Instead, private or market forces determine events.

- **Examples?**

2.2 Politics and Public Policy

- David Easton observed that politics is "the authoritative allocation of values for a society."

- Actions of policymakers can determine definitively and with the force of law which values will prevail.

2.2 The Political Context

	'Surface-level' Reforms	'Deep' Quality Enhancing Reforms
Typical actions	• Build infrastructure • Expand bureaucracies • Increase budgets	• Improve management • Improve accountability • Strengthen local control
Political implications	• Jobs • Increased power for minister	• Loss of jobs • Loss of decision-making power
Political response	• Politicians happy • Communities happy • Providers happy	• Administrators sabotage change • Politicians avoid reform

2.3 Elements of Public Policies

- **Intentions** (purposes of action)
- **Goals** (stated ends to be achieved)
- **Plans** (means to achieve goals)
- **Programs** (authorized means to achieve goals)
- **Decisions** (specific actions)
- **Effects** (intended and unintended)

2.3 Elements

- **Policy Outputs:** Formal actions that governments take to pursue their goals.

- **Policy Outcomes:** The effects that policy outputs (actions) have on society.

2.4 Characteristics of Policy-Making

Characteristic	What does that mean?
Incremental and complex	Policy is often based on experimentation, chance events, learning from mistakes, and a range of other influences.
Shaped by "policy narratives"	Different stories evolve to describe events. Some gain more authority and have more influence on policy decisions than others.
Pluralist	Many actors and interest groups can influence the policy process. There may be a range of mechanisms by which these different voices are heard.
Informed by actor networks	Certain individuals or institutions spread and maintain narratives through chains of persuasion and influence and inform policy.
Political	Power relations between citizens/experts/political authorities mean that policy making is not neutral. Personal politics and party politics influence policy decisions
Influenced by practice	Projects, and the practices of front line staff can have a strong influence on policy

(Keeley and Scoones, 1999).

The Policy Process

1. Agenda Setting
Public attention focuses on a public problem or issue. Officials' words and actions help focus attention.

2. Policy Formulation
Policy makers in the legislature and the bureaucracy take up the issue. They create legislative, regulatory, or programmatic strategies to address the probem.

3. Policy Adoption
Policy makers formally adopt a policy solution, usually in the form of legislation or rules.

4. Policy Implementation
Government agencies begin the job of making the policy work by establishing procedures, writing guidance documents, or issuing grants-in-aid to other governments.

5. Policy Evaluation
Policy analysts inside and outside government determine whether the policy is addressing the problem and whether implementation is proceeding well.
They may recommend **REVISIONS** in the agenda, in the formulation of policy, or in its implementation.

REVISION

REVISION

Policy-Making Life-cycle

Agenda Setting

Analysis

Policy Creation

Implementation

Monitoring

The Policy-Making Life Cycle

The Policy Process/Life-cycle

- Agenda setting
- **Analysis**
- Policy formulation/creation
- *Mobilization of political support*
- Policy implementation
- Program evaluation/monitoring
- *Policy change*

2.5 How does policy emerge?

- Policy making is rarely an "event", it tends to emerge and evolve over time, subject to continuous re-interpretation

- Timing of decisions *often* dictated by political considerations rather than state of *evidence*

2.5 How Does Policy Emerge?

- Changes are driven by underlying beliefs about:

- cause of problem, and effect of intervention,

- social climate - what is popular, what is acceptable

- power and influence of competing interests -who wins, who loses, who will fight, who will compromise   (Milio 1987, Evelyn DeLeew 1993)

2.5 How Does Policy Emerge?

- **Derived from balance between what is:**
  - 1. scientifically plausible (evidence based)
  - 2. politically acceptable (fit with vision, balance of interests) and
  - 3. practical for implementation
    - powers and resources available
    - systems, structures and capacity for action in place
    - feasible to take action - community engagement and acceptance

Evaluating Policy Ideas

- **Effectiveness** (likely achievements)
- **Efficiency** (greatest benefits at the least cost)
- **Equity** (fairness of benefits distribution)
- **Political Feasibility** (acceptability of proposal by stakeholders)

2.6 Public Opinion & Policy

- **Saliency** (public awareness)
- **Intensity** (degree of positive or negative feelings toward issue)
- **Stability** (opinion over time)
- **Potential** (although currently not salient, public may show concern toward issue in the future)

Range of Public Opinion
BASIS FOR POLICY MAKING

← INFORMATION → **HIGH**
(Wisdom)

U - I UNINFORMED INVESTED	**I - I** INFORMED INVESTED
U - U UNINFORMED UNINVESTED	**I - U** INFORMED UNINVESTED

INVESTMENT

LOW
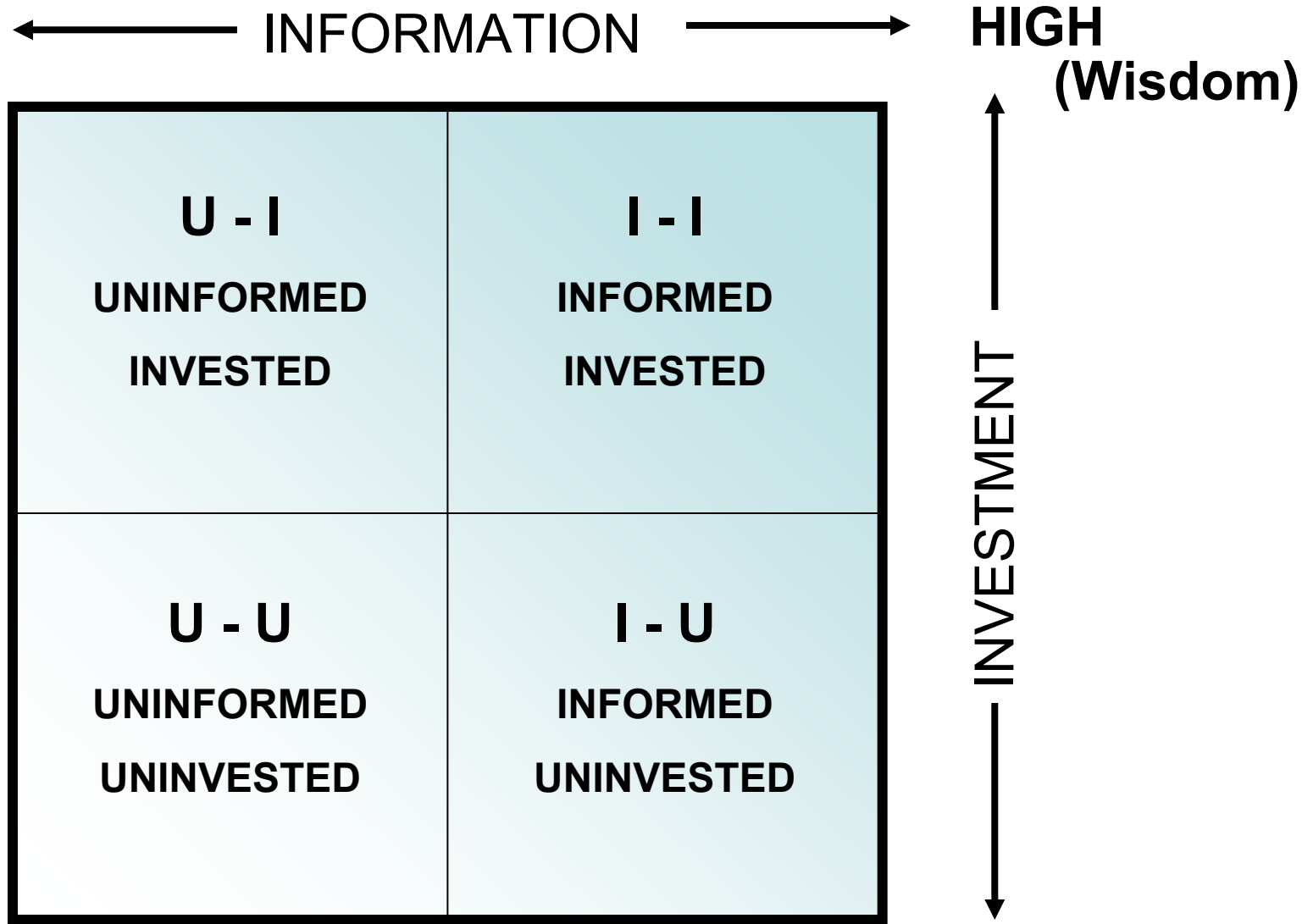
Range of Public Opinion
SOUND POLICY MAKING

←———— INFORMATION ————→ **HIGH**
(Wisdom)

U - I	**I - I** **INFORMED** **INVESTED**
U - U	**I - U**

INVESTMENT

LOW
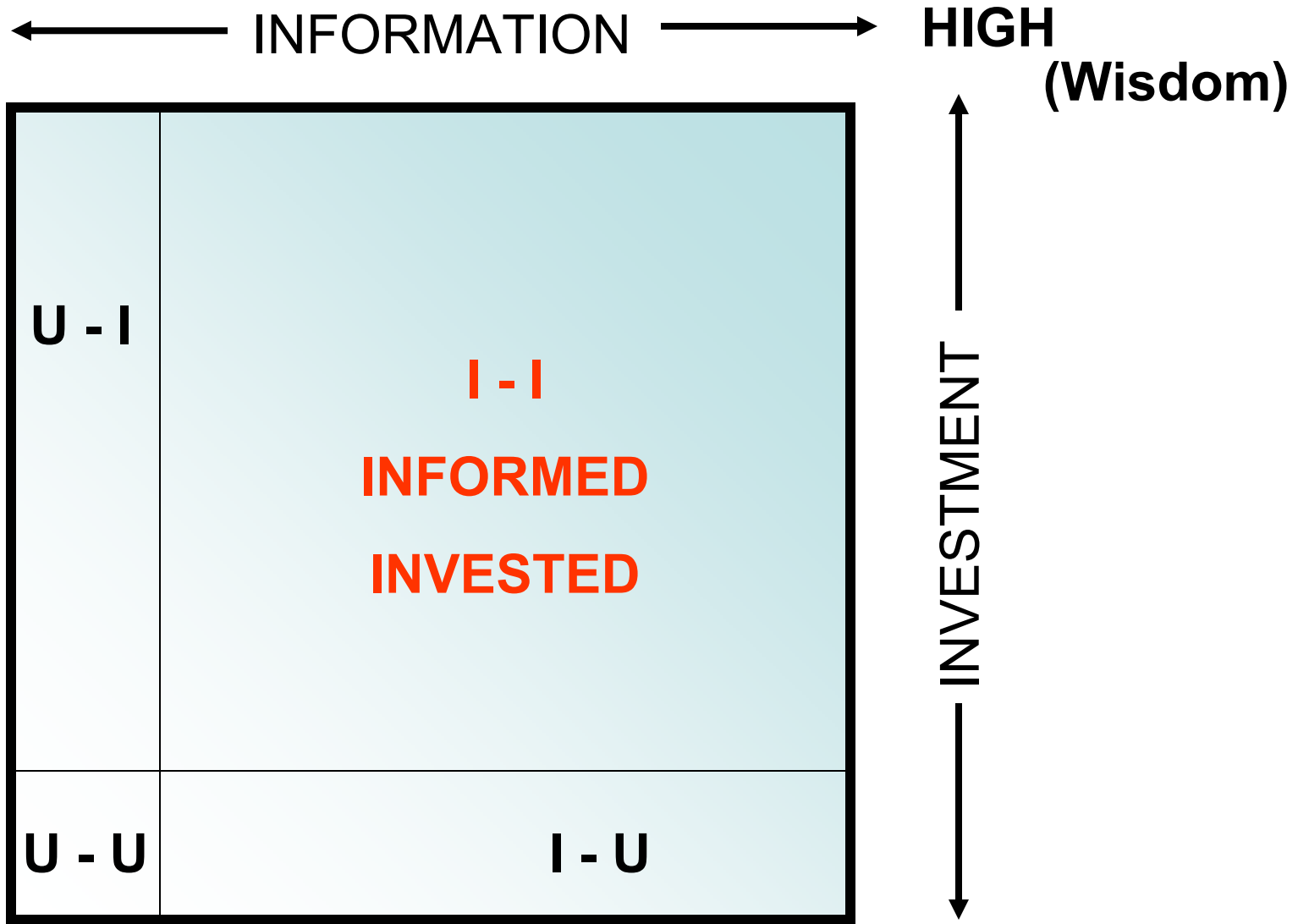
Range of Public Opinion

POOR POLICY MAKING

← INFORMATION → **HIGH**

(Wisdom)

U - I	**I - I**

U - U

UNINFORMED

UNINVESTED

I - U

INVESTMENT
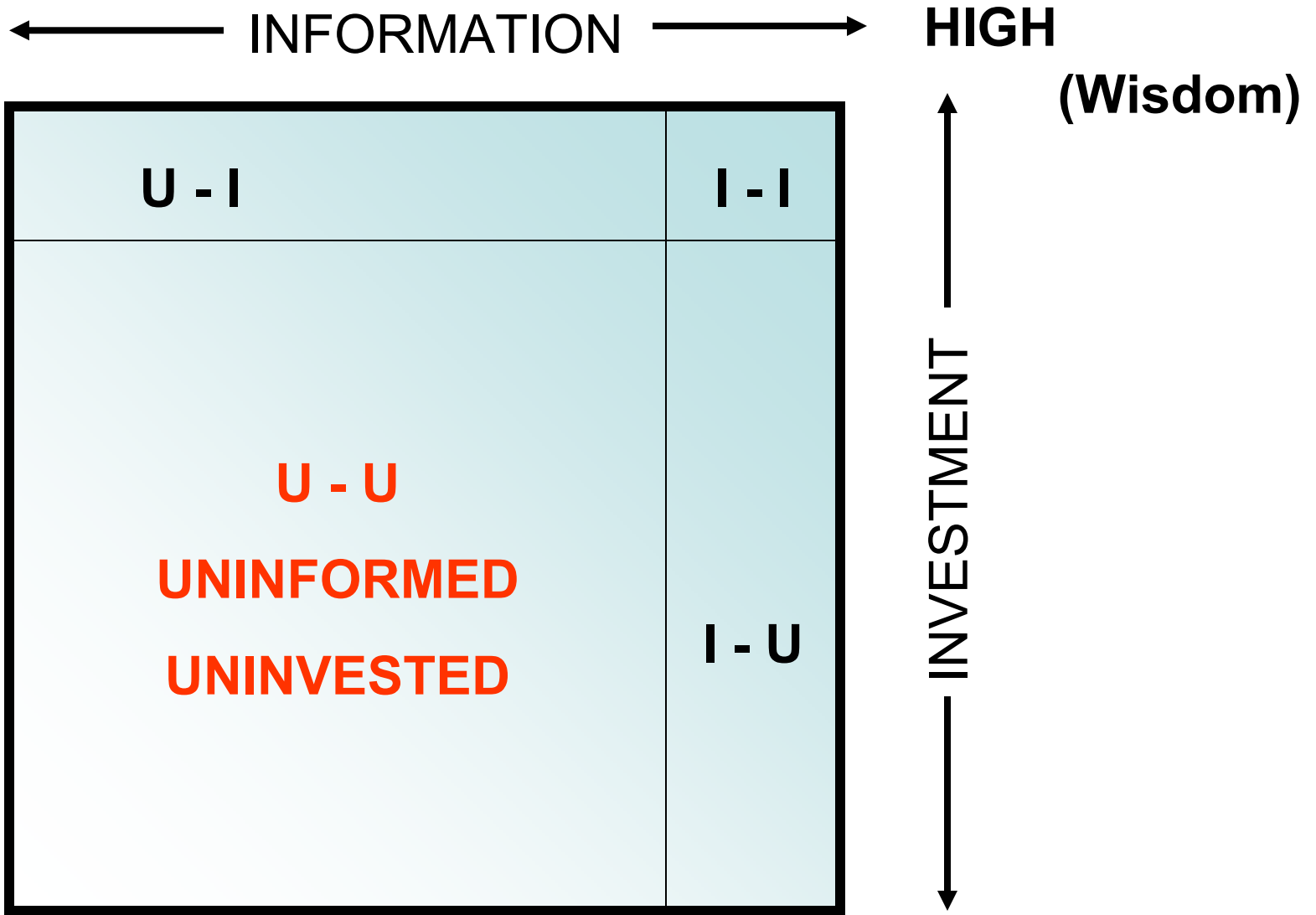
LOW

Tools to Influence Policy

- Lobbying

- Corridoring

- Litigation

- Public relations

- Electoral participation

Part 3. Policy Stakeholder Analysis

3.1 Analyzing the Roles of Stakeholders - The Four "Rs"

3.2 Components of Policy Analysis

3.3 What is needed to get "community" into "policy"?

3.1 Policy Stakeholder Analysis

Analysing the roles of stakeholders - The Four "Rs"

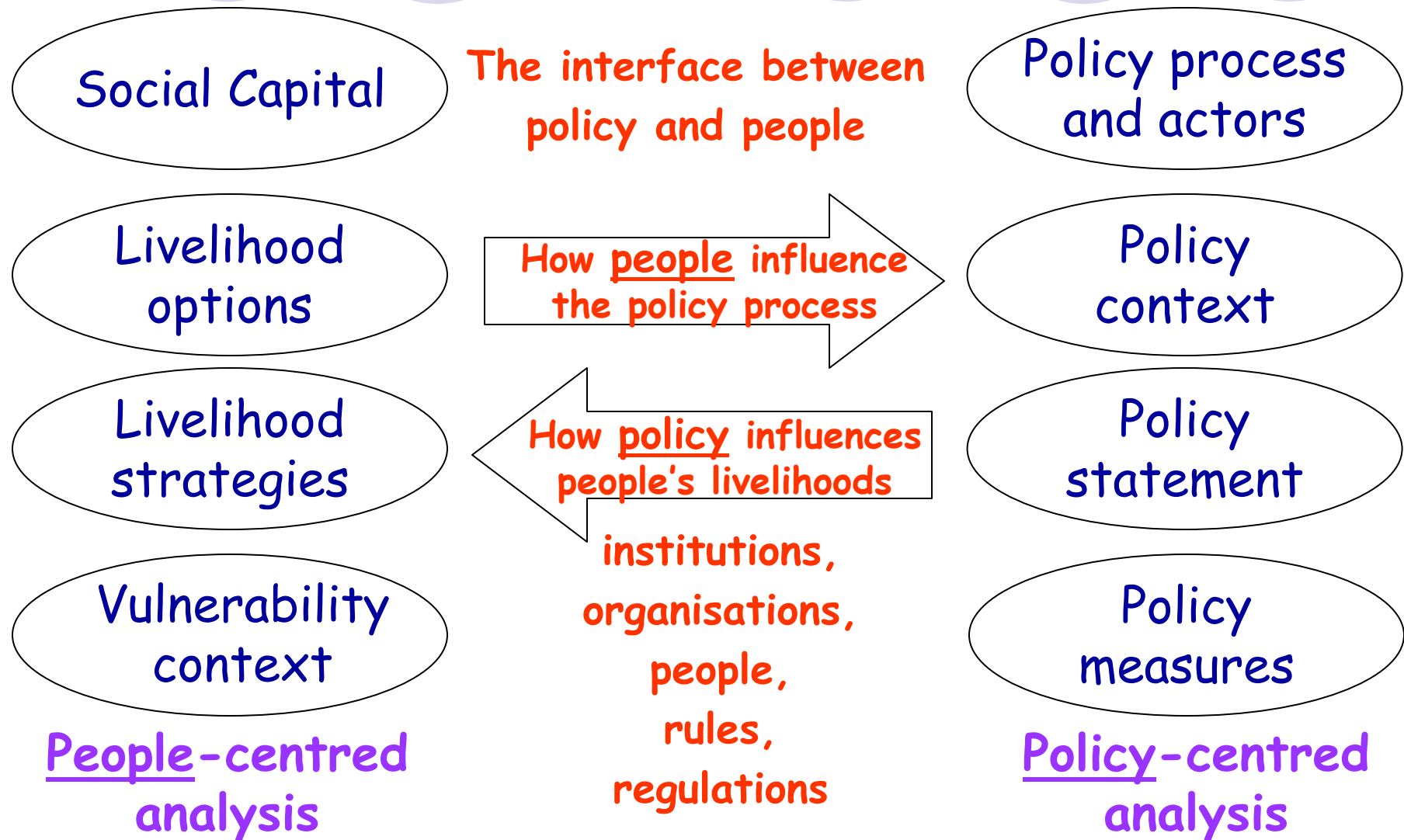| Rights	Responsibilities	Revenues & rewards	Relationships

Formal Policy Actors

- Elected officials
- Political appointees
- Legislative staff
- Career bureaucrats

Informal Policy Actors

- Organized interest groups
- Journalists
- Citizens
- Nongovernmental policy analysts

3.2 What are the components of policy analysis?

Social Capital

The interface between policy and people

Policy process and actors

Livelihood options

How **people** influence the policy process

Policy context

Livelihood strategies

How **policy** influences people's livelihoods

Policy statement

Vulnerability context

institutions, organisations, people, rules, regulations

Policy measures

People-centred analysis

Policy-centred analysis

3.3 What is needed to get "community" into "policy"?

- **Public and media engagement in issues -** more effective communication of evidence, including evidence of community priorities and preferences

- **Effective public advocacy** - to shift balance of power and influence competing interests

- **Improved skills of the bureaucracy and among practitioners** - policy development to implementation

3.3 What is needed to get "community" into "policy"?

- More timely information and improved access to available evidence in digested form

- Improved techniques for communicating and managing uncertainty

Group Exercise (Parts 2 and 3)

Discuss:

(i) What approaches, tools and techniques you use to influence policy?

(ii) What works?

(iii) If you can, please distinguish between different parts of the policy process: agenda setting, formulation, decision, implementation, monitoring)
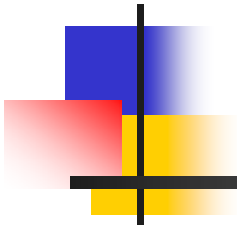
Part 4. Evidence & Policy Formulation

4.1 The Use of Evidence in Policy Identification, Development and Implementation

4.2 Types of Evidence and How they are Used in Policy Making

4.3 Determining the Usefulness of the Evidence

Part 4. Evidence and Policy Formulation

4.4 A Practical Framework

4.5 Challenges to Bridging Research and Policy

4.6 Civil Society Organisations and the Use of Evidence

The Problem…

- "policymakers seem to regard **'research'** as the opposite of **'action'** *rather than* the opposite of **'ignorance'.**"[1]

[1] – Surr et al, 2003, DFID Research Strategy Report.
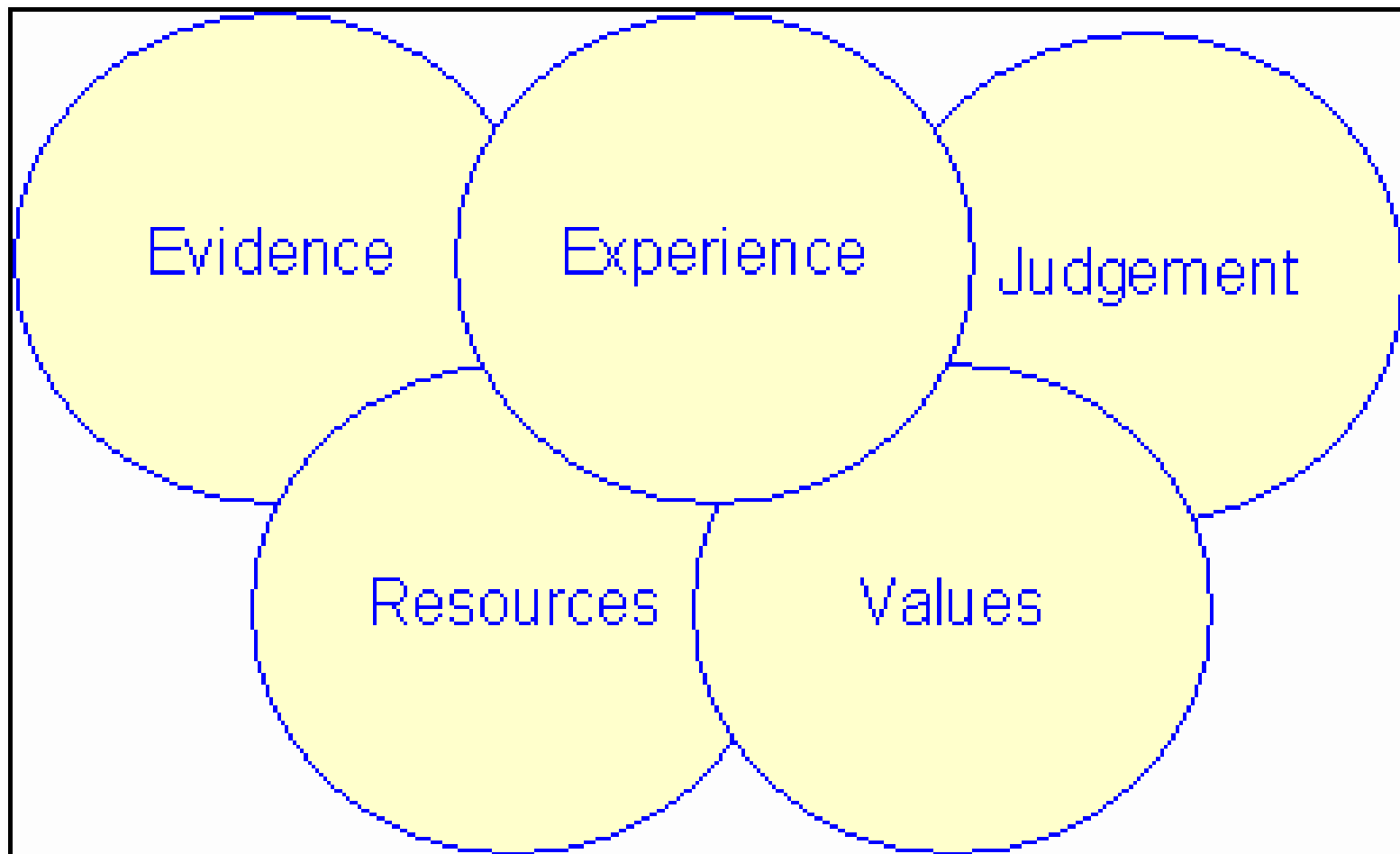
Definitions

- **<u>Research:</u>**

  - any systematic effort to increase the stock of knowledge

- **<u>Policy:</u>**

  - a purposive course of action followed by an actor or set of actors

Factors which influence Policy

From Opinion-Based Policy to Evidence-Based Policy

- The integration of experience, judgement and expertise with the best available external evidence from systematic research

- Involves a balance between professional judgement and expertise on the one hand and the use of valid, reliable and relevant research evidence on the other.

- Involves a shift away from opinion-based decision making to evidence-decision making.

Why Make Public Policy More Evidenced-Based?

1. Effectiveness - ensure we do more good than harm

2. Efficiency - use scarce public resources to maximum effect

3. Service Orientation - meet citizen's needs/expectations

Why Make Public Policy More Evidenced-Based?

4. Accountability - transparency of what is done and why

5. Democracy - enhance the democratic process

**6. Trust** - help ensure/restore trust in government and public services

What is Evidence-Based Policy?

- Evidence-based policy helps people make **well-informed decisions** about policies, programmes and projects…

- By putting the **best available evidence** from research at the heart of policy development and implementation

Opinion vs. Evidence

Opinion-Based Practice

Evidence-Based Practice

Increasing Pressure →
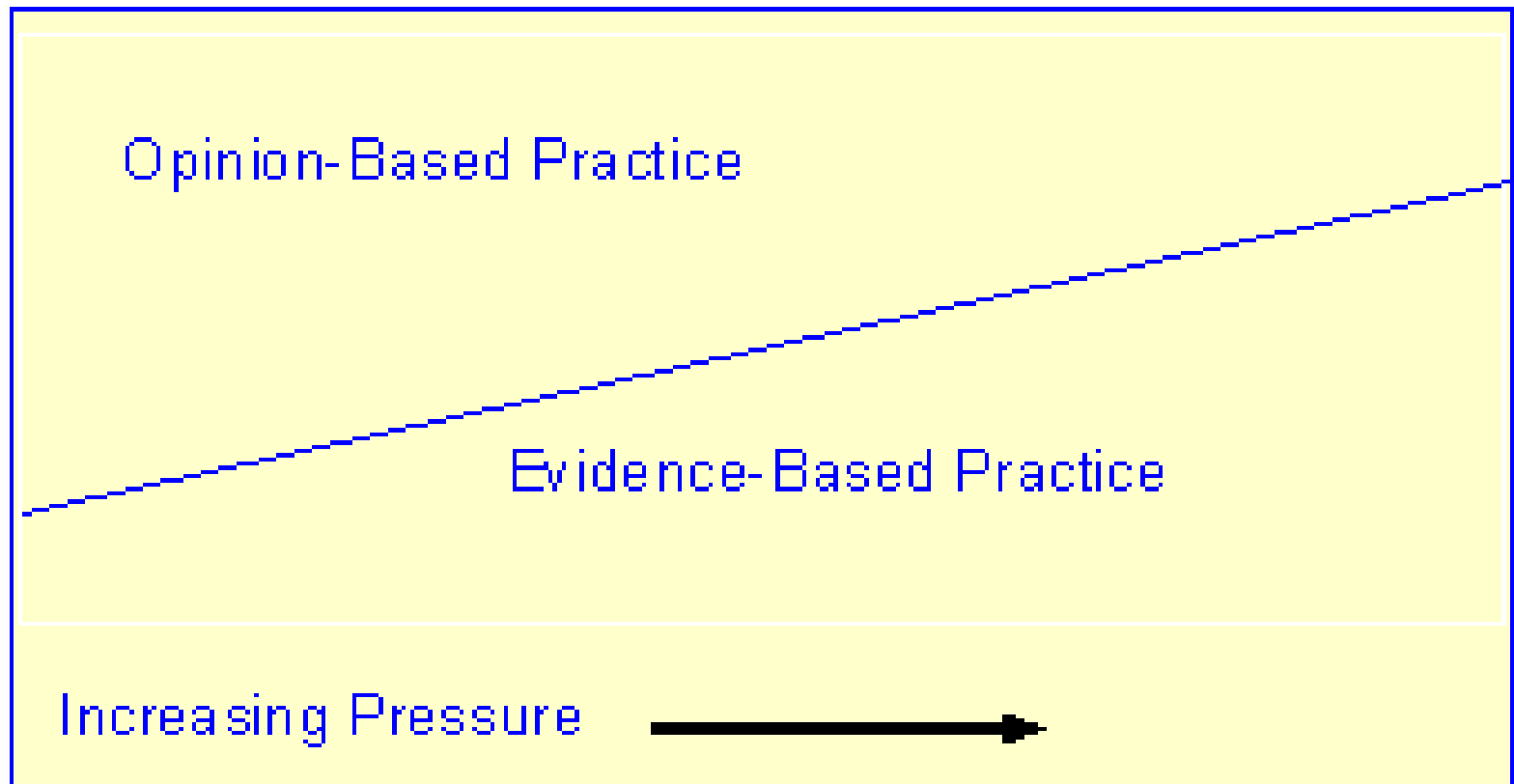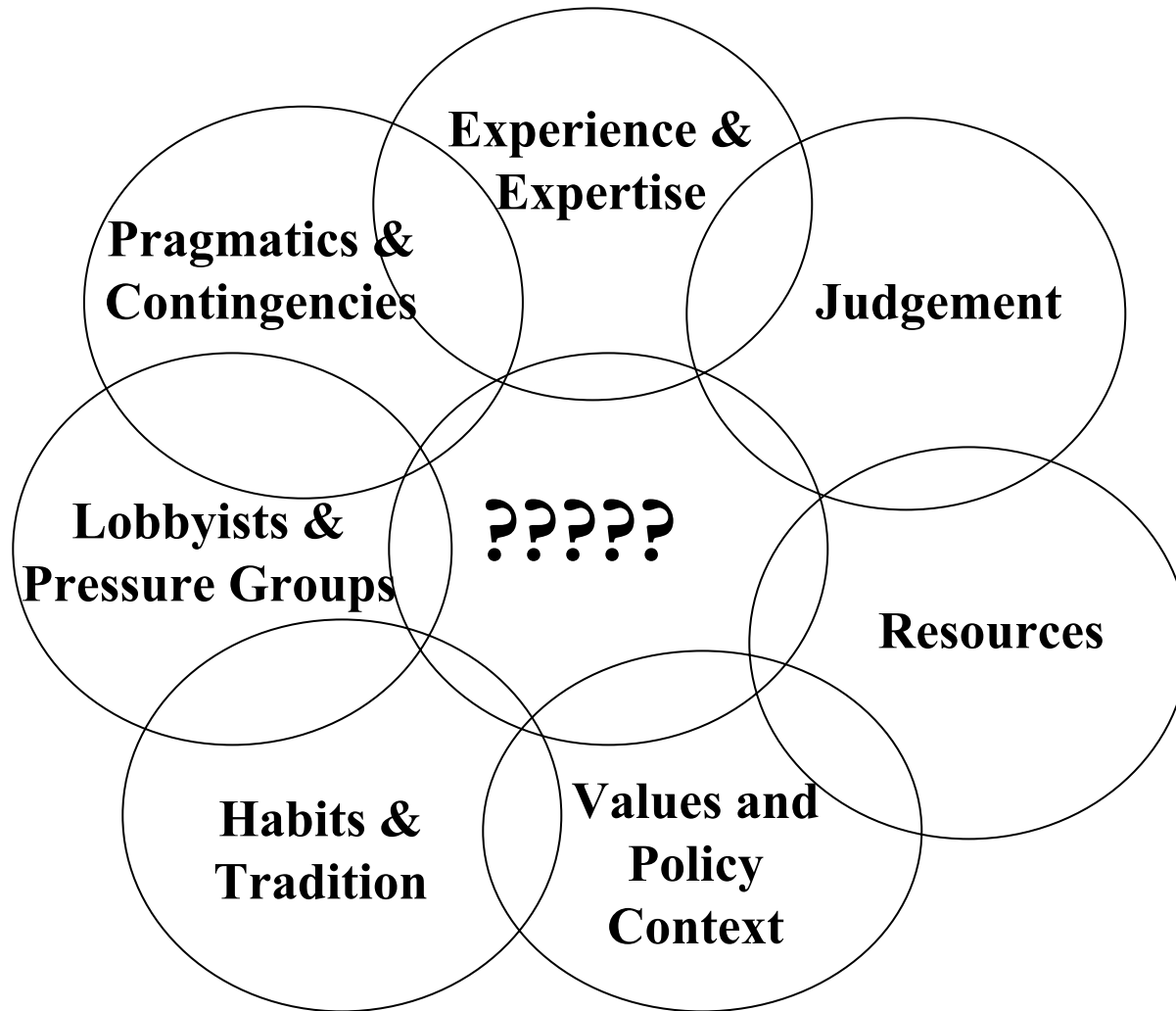
Opinion vs. Evidence

- Evidence-based decision making draws heavily upon the findings of research (including social science research)

- Gathered and critically appraised according to explicit and sound principles of scientific inquiry.
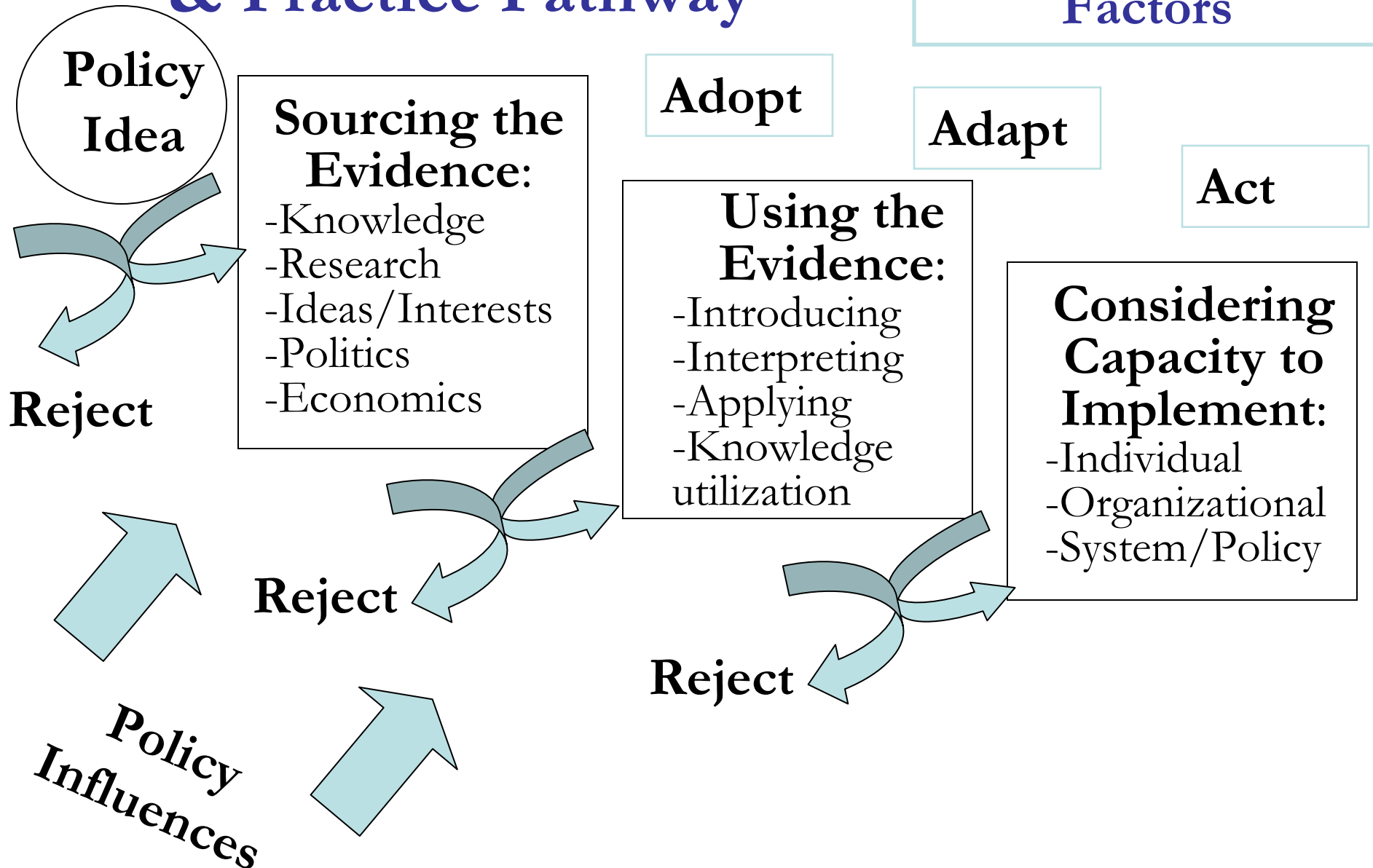
Opinion vs. Evidence?

- The opinions and judgements of experts that are based upon up-to-date scientific research constitute <u>high quality valid and reliable evidence?</u>

- Opinions that are not based upon scientific evidence, but are <u>unsubstantiated, subjective and opinionated viewpoints</u> do not constitute high quality, valid and reliable evidence?

Factors Influencing Policy Making

Experience & Expertise

Pragmatics & Contingencies

Judgement

Lobbyists & Pressure Groups

?????

Resources

Habits & Tradition

Values and Policy Context

Evidence-Based Policy & Practice Pathway

Context and Decision Making Factors

Policy Idea

Adopt

Adapt

Act

Sourcing the Evidence:
-Knowledge
-Research
-Ideas/Interests
-Politics
-Economics

Using the Evidence:
-Introducing
-Interpreting
-Applying
-Knowledge utilization

Considering Capacity to Implement:
-Individual
-Organizational
-System/Policy

Reject

Reject

Reject

Policy Influences

4.2 Types of Evidence

Types of Evidence	Information and Influence on Decision-Making
Research	Empirical evidence from randomized control trials & other trials
	Analytic studies such as cohort or case control studies
	Time series analyses
	Observations, experiences, and case reports
	Qualitative studies
	Before and after studies
Knowledge & Information	Results of consultation processes with networks/groups
	Internet
	Published documents (including policy evaluations & statistical analyses)

4.2 Types of Evidence

Ideas and Interests	Opinions & views: 'expert knowledge' of individuals, groups, networks (shaped by past personal and professional experiences, beliefs, values, skills)
Politics	Information relevant to the agenda of government
	Political risk assessment and saleability
	Opportunity
	Crises
Economics	Finance and resource implications
	Cost effectiveness or other forms of economic evaluation
	Opportunity Cost

Source: Cabinet Office (1999a)

4.3 Determining the Usefulness of the Evidence

1. Accuracy:

Is the evidence correctly describing what it purports to do?

2. Objectivity:

- quality of the approach taken to generate evidence

- objectiveness of the source

- extent of contestation regarding evidence

4.3 Determining the Usefulness of the Evidence

3. Credibility:

reliability of the evidence and whether we can depend on it for monitoring, evaluation or impact assessments.

4. Generalisability:

is there extensive information or are there just selective cases or pilots?

4.3 Determining the Usefulness of the Evidence

5. Relevance: is evidence timely, topical and has policy implications.

6. Availability: The existence of (good) evidence.

4.3 Determining the Usefulness of the Evidence

7. Rootedness: Is evidence grounded in reality?

8. Practicalities: :

- Whether policymakers have access to the evidence in a useful form and

- Whether the policy implications of the research are feasible and affordable.
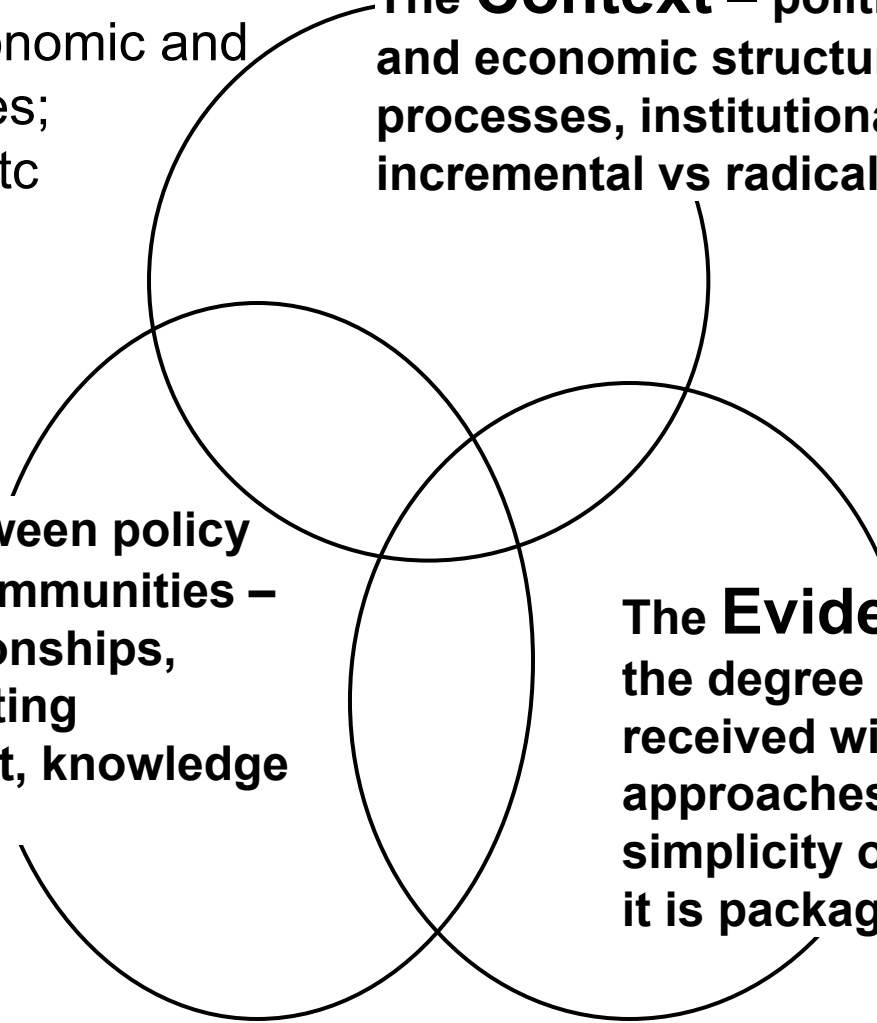
4.4 A Practical Framework

External Influences
Geopolitical, economic and
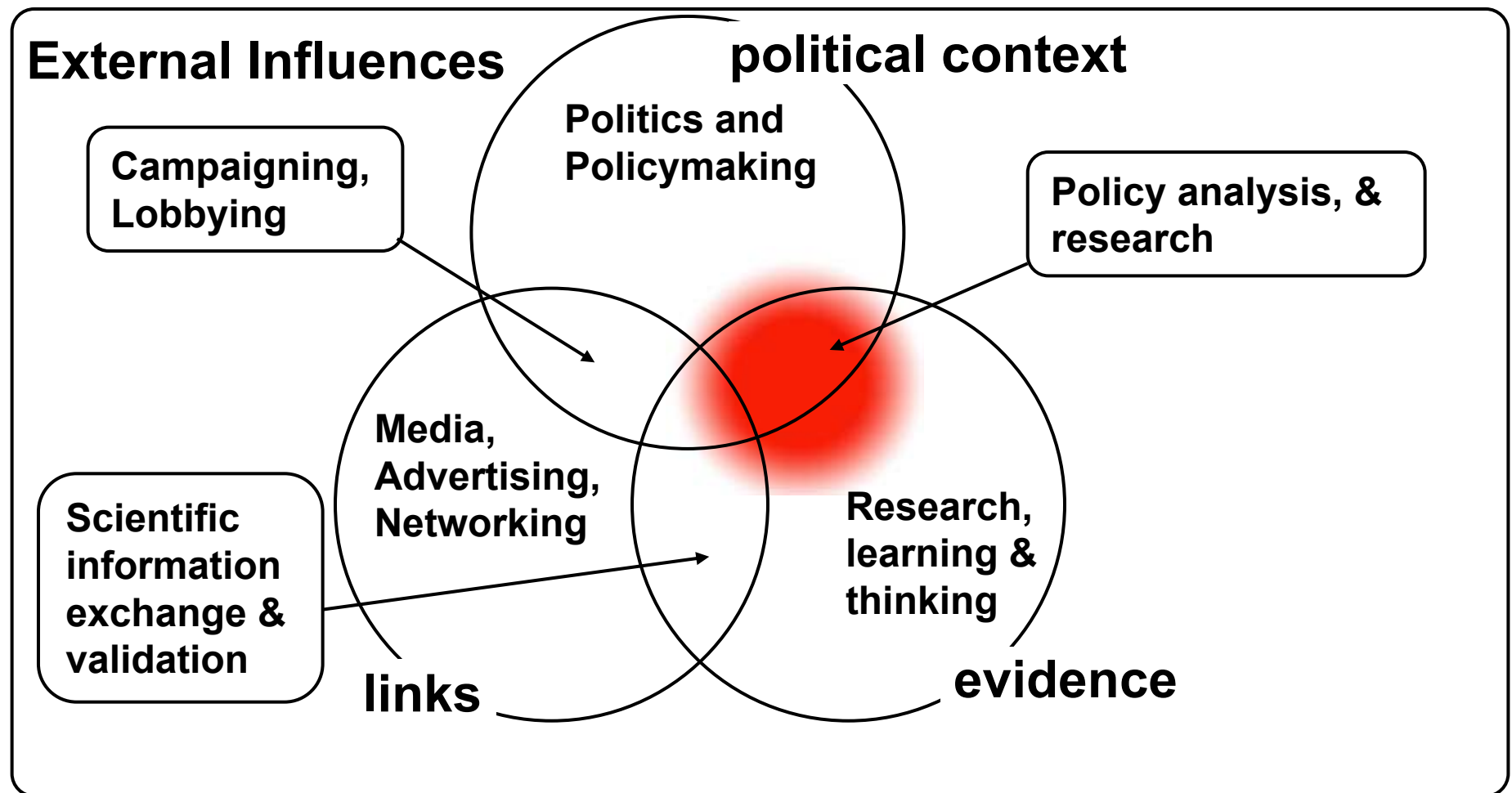cultural influences;
donor policies, etc

The **Context** – political, social
and economic structures, political
processes, institutional pressures,
incremental vs radical change etc.

The **Links** between policy
and research communities –
networks, relationships,
power,   competing
discourses, trust, knowledge
etc.

The **Evidence** – credibility,
the degree it challenges
received wisdom, research
approaches and methodology,
simplicity of the message, how
it is packaged etc

A Practical Framework

External Influences

political context

Politics and Policymaking

Campaigning, Lobbying

Policy analysis, & research

Media, Advertising, Networking

Scientific information exchange & validation

Research, learning & thinking

links

evidence

Parallel Universes?
(or Policy Makers Constraints)

- **Speed**

- **Superficiality**

- **Spin**

- **Secrecy**

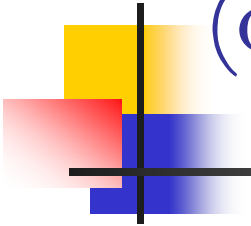Vincent Cable – MP for Twickenham

Parallel Universes?
(or Policy Makers Constraints)
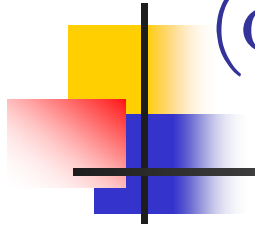
Speed:

- Policy makers are under chronic time pressure & are forced to process information quickly.

- This requires improvisation and also means that sometimes compromises have to be made.

- Occasionally, this leads to bad decisions.

Parallel Universes?
(or Policy Makers Constraints)

Superficiality:

- Each policy maker has to cover vast thematic fields, and cannot possibly have in depth knowledge about every issue in those areas.

- They are therefore heavily dependent on the knowledge and integrity of the people who inform them.

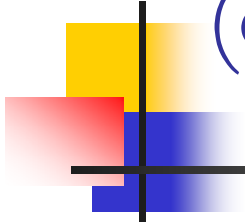# Parallel Universes?
(or Policy Makers Constraints)

Superficiality:

- This raises difficult questions about who policy makers should turn to for advice, and how they can judge the advice given to them.

Parallel Universes?
## (or Policy Makers Constraints)

<u>Spin:</u>

- In the political world, perception is very important.
- For example, even though evidence has shown an option is not the most cost effective way it may still be used if there is a strong public perception that it will improve the situation.
- Perception often guides political decisions.

Parallel Universes?
(or Policy Makers Constraints)
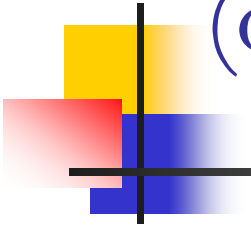
<u>Secrecy:</u>

- the question of how to relate to evidence that is secret.

- A recent example is Blair's memorandum on weapons of mass destruction in Iraq, which formed the basis of political decisions.

4.5 Challenges to Bridging Research and Policy

1. ***Acceptability of Research Results*** – If policymakers do not accept them, they will remain nothing better than a wish list. Researchers need to re-package their findings.

2. ***Lack of Awareness*** on the part of policy makers about the existence of policy relevant research incapacity of over-stretched bureaucrats to absorb research, or policy makers being dismissive, unresponsive or incapable of using research.

4.5 Challenges to Bridging Research and Policy

3. *Timeliness* in carrying out research is important if its findings need to influence policy. Often times, a perfect solution that is late is a wasted effort.

4. *Accessibility and quality of data and information* - Depending on which data research is founded, and the credibility of the sources, results may be acceptable or rejected by the policymakers.

4.5 Challenges to Bridging Research and Policy

5. *Societal disconnection* of both researchers and decision-makers from those who the research is about or intended for undermines effective implementation.

6. *Donor Interests*: - When a research is donor funded, sometimes the agenda of the donor becomes a binding constraint on how much of influence can bear on government policy.

4.6 Civil Society Organisations (CSOs) & Use of Evidence
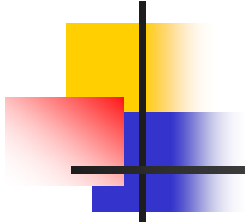
Agenda Setting:

- CSOs may use evidence to build momentum behind an idea until it reaches a 'tipping point'.

- They may need to crystallize a body of evidence as a policy narrative to create a window for policy change.

- A key factor here is the way evidence is communicated.

4.6 Civil Society Organisations (CSOs) & Use of Evidence
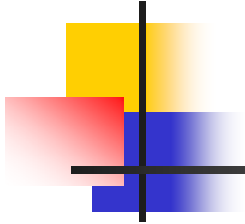
Formulation:

- evidence can be an important way to establish the credibility of CSOs.

- the quantity and quality credibility of the evidence that CSOs use seems to be important to their policy influence.
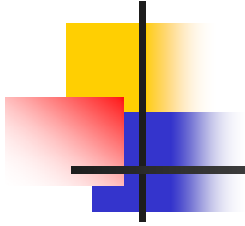
Part 5.
Policy Implementation as a Process of Change Management & Innovation

Policy Implementation and the Management of Change & Innovation

- Fundamental to the **transfer of evidence into policy and practice is** Diffusion

- **Diffusion** is the process by which an innovation is communicated and adopted over time among members of a social system

- In this context the **'innovation' is the policy idea as well as the related evidence**.

Policy Implementation and the Management of Change & Innovation

Diffusion theory helps us understand:

- how individuals within an organization receive, adopt, and adapt evidence and policies

- the organizational factors that constrain or facilitate the adoption or implementation of the evidence and policies

Policy Implementation and the Management of Change & Innovation

- **Organisational innovation** is the adoption of an internally generated or purchased devise, system, policy, program, process, product or service that is <u>new to the adopting organisation</u> (Daft, 1982; Damanpour and Evan, 1984).

- Innovation: an idea or practice that is <u>perceived as new</u> by an individual or unit of adoption. Van de Ven and Rogers (1988)

Policy Implementation and the Management of Change & Innovation

- ***Compatibility and Complexity***: innovation characteristics most consistently related to the success of adoption and implementation.

- The **compatibility** of an innovation is the degree to which it is ***perceived as being consistent*** with existing values, past experiences and needs of the receivers of the innovation.

Policy Implementation and the Management of Change & Innovation

- **Compatibility** can be related to:
- (1) how people think and feel about a technology
- (2) how it fits operationally with what they are doing.

Policy Implementation and the Management of Change & Innovation

- The more an innovation is perceived as being compatible with an organisation's current systems, procedures, and values, the greater the likelihood of adoption and implementation (Kimberly and Evaniskov, 1981; Van de Ven and Pool, 1990).

# Policy Implementation and the Management of Change & Innovation

- ***Complexity*** is the degree to which an innovation is perceived as being relatively difficult to understand and to use (Van de Ven and Rogers, 1988).

- While an innovation ***may appear to be beneficial***, the organisation may not possess the necessary skill or resources to utilise the innovation.

Policy Implementation and the Management of Change & Innovation
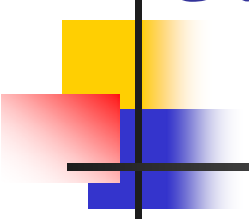
- The **perceived complexity** of an innovation is generally found to be ***negatively related to adoption and implementation*** (Van de Ven and Rogers, 1988; Tornatzky and Fleisher, 1990).

- Perceived complexity has also been found to be **negatively correlated** to innovation diffusion (Premkumar and King, 1994).

5.1 Stages in the Process of Managing Change
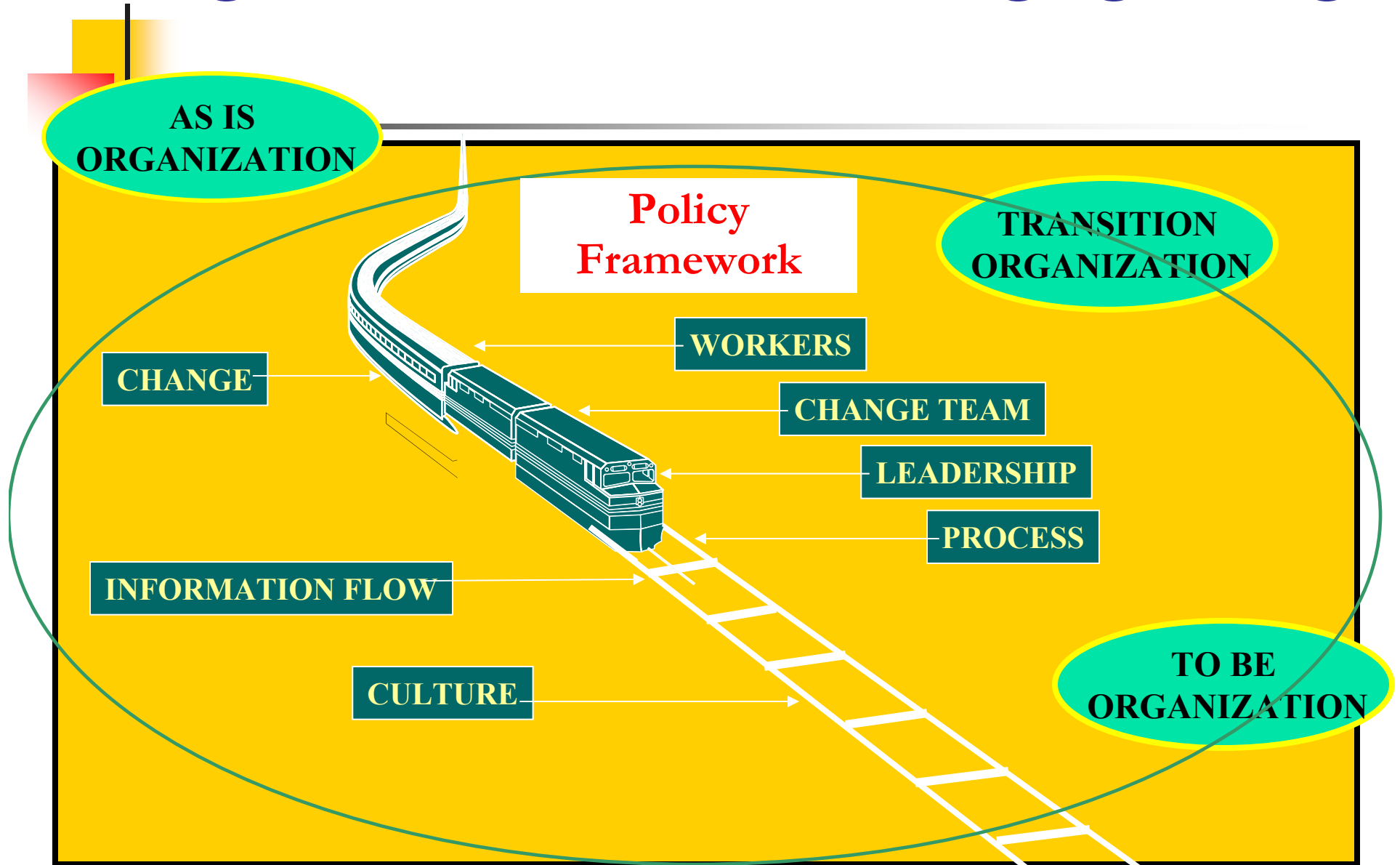
5.2 Anticipating Resistance

- Resistance to leaving the current state

- Resistance to going through the delta state

- Resistance to the desired state

Model of Organizational Change

- **Unfreezing (Current State)**
  - Prepare those affected by change
  - Communicate reasons
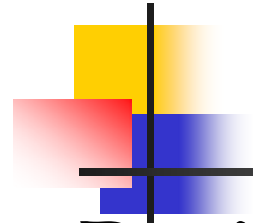 - Solicit feedback
- **Moving (Delta State)**
  - Training of those affected by change
- **Refreezing (Desired State)**
  - Routinization of the change
 - Becomes "second nature"

Resistance to leaving the current state

- Don't see the need to change
- Can't envision the desired state
- Don't know how to change
- Feel that the change is a criticism of performance
- Would rather focus on a different change
- Don't trust the change agents or sponsor
- Are too comfortable in the current state
- Experienced failed or painful change in the past
- Value current skills above new ones

Resistance to going through the delta state

- Have other priorities occupying their energy

- Don't want a heavier workload

- Don' think the organisation can make the transition

- Think that the cost is too high; the change is too disruptive or requires too much effort

- Feel that they are not involved sufficiently; the timing is bad or the reward is too low.
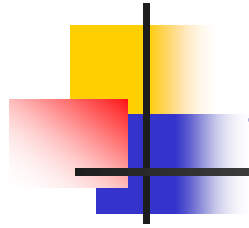
Resistance to the desired state

- Would prefer a different outcome

- Fear unknown outcomes/negative outcomes

- Feel that this change doesn't solve the problem

- Feel that they won't be able to learn the new way

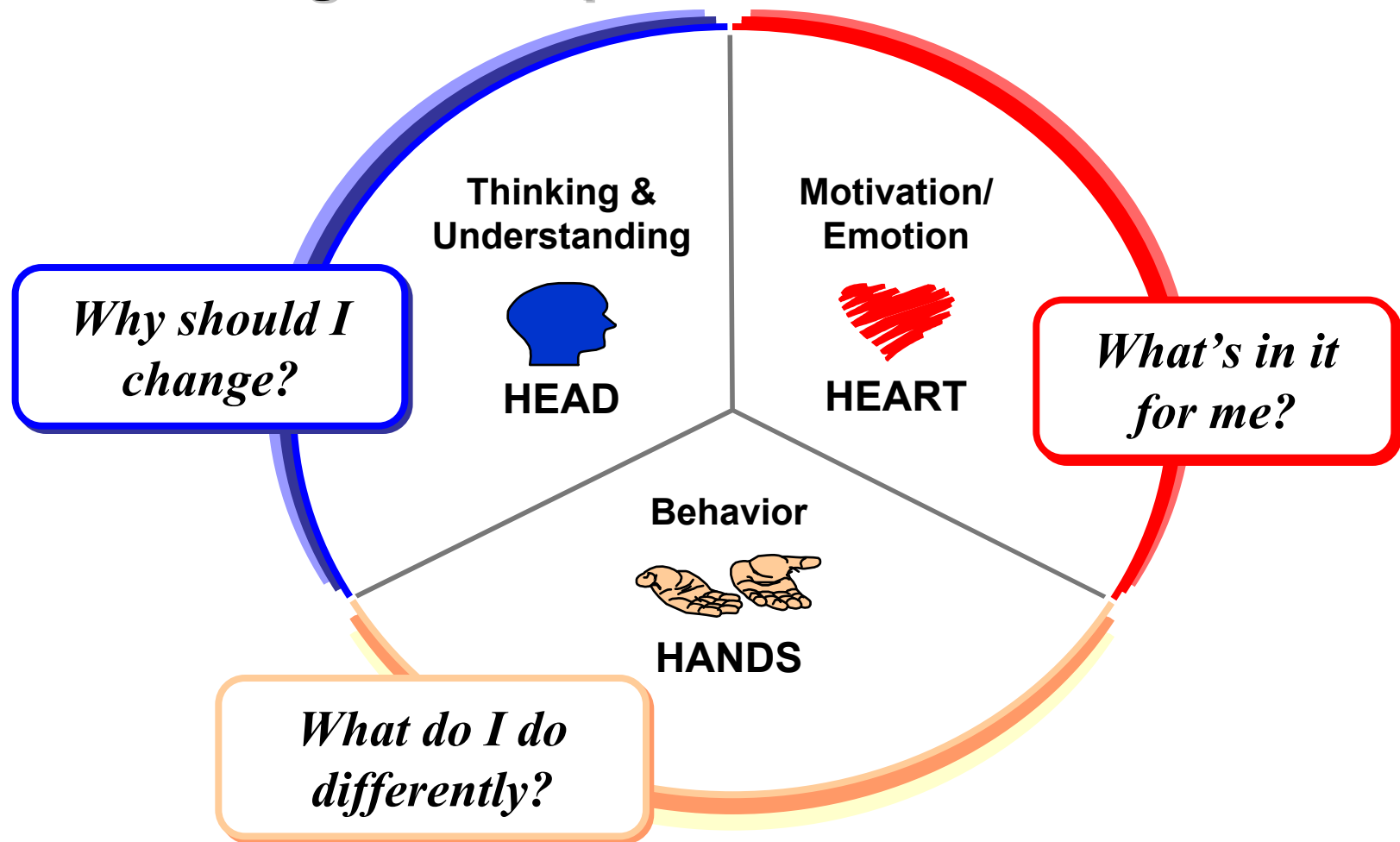- Can't see the relevance of the change to their work

Organizational Change *Roadmap*

1. Establish a sense of urgency.

2. Create the guiding coalition.

3. Develop a vision and strategy.

4. Communicate the change vision.

5. Empower employees for broad-based action.

6. Generate short-term wins.

7. Consolidate gains and produce more change.

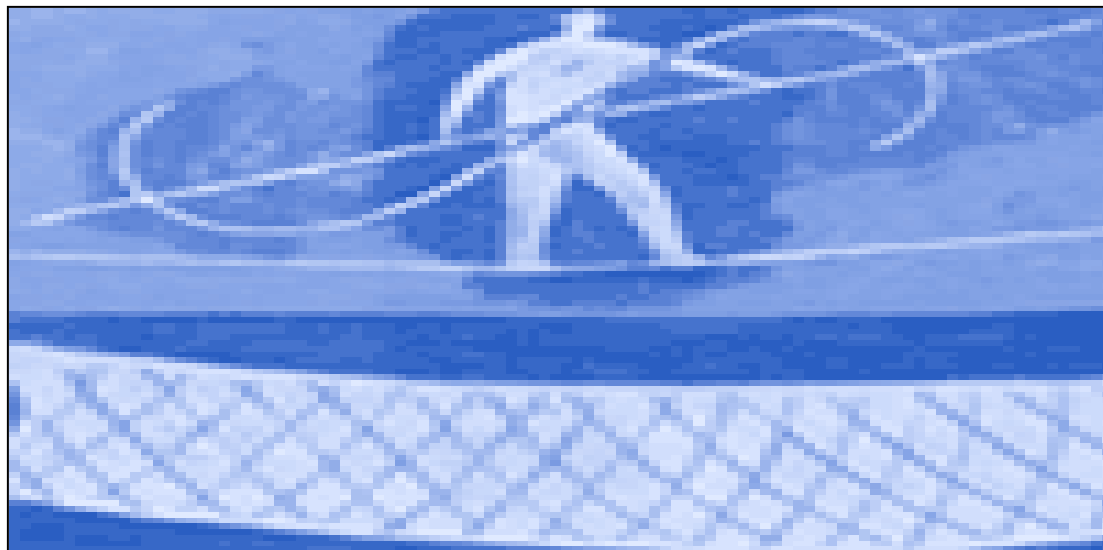8. Anchor new approaches in the culture. (John Kotter)

The Framework for Change:
Head, Heart & Hands
Change takes place in three arenas

Thinking & Understanding

HEAD

Motivation/ Emotion

HEART

Behavior

HANDS

Why should I change?

What's in it for me?

What do I do differently?

5.3 Creating Safety Nets

- **Communication Plan**

- **Learning Plan**

- **Reward Plan**

i) Communication Plan

- **Why** the change is happening

- **What** things are going to look like after

- **How** will it happen and
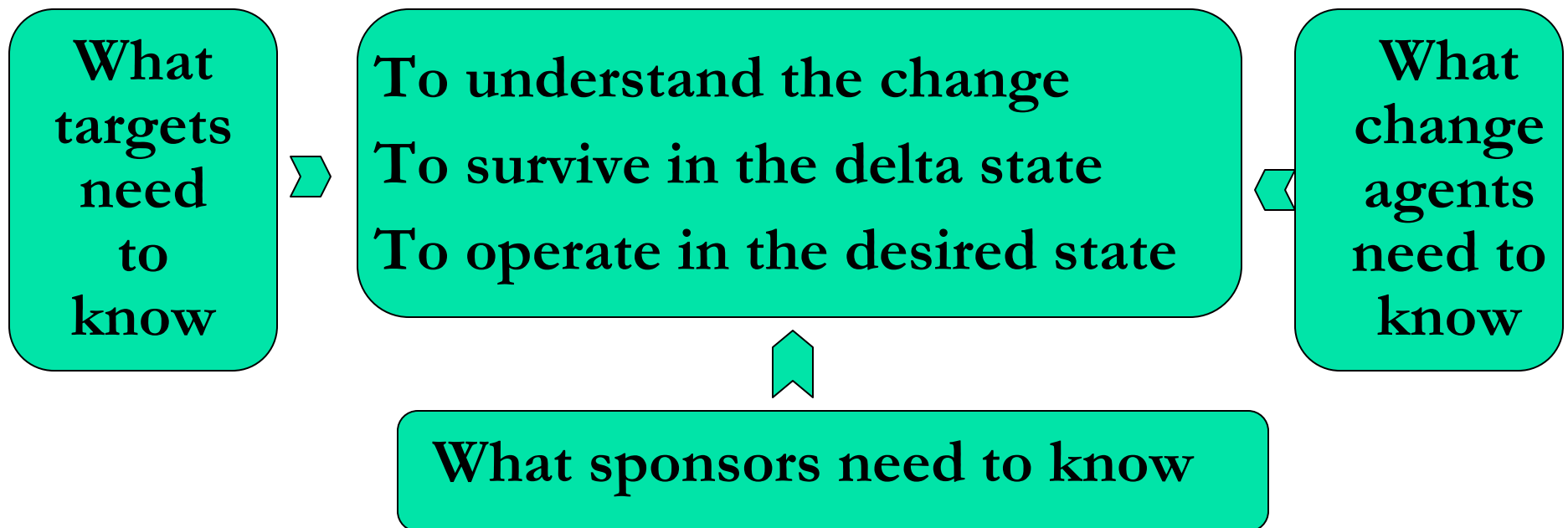
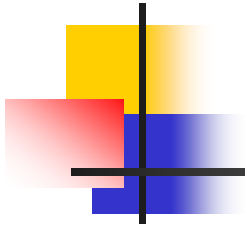- **How** will it impact

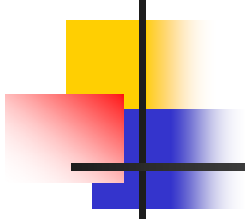on them

ii) Learning Plan

- Identifies the skills, knowledge and attitudes required by each target group throughout the change

- Establishes:
    - when training is needed
    - how will it be delivered and assessed
    - by whom and
    - at what cost

Learning Plan

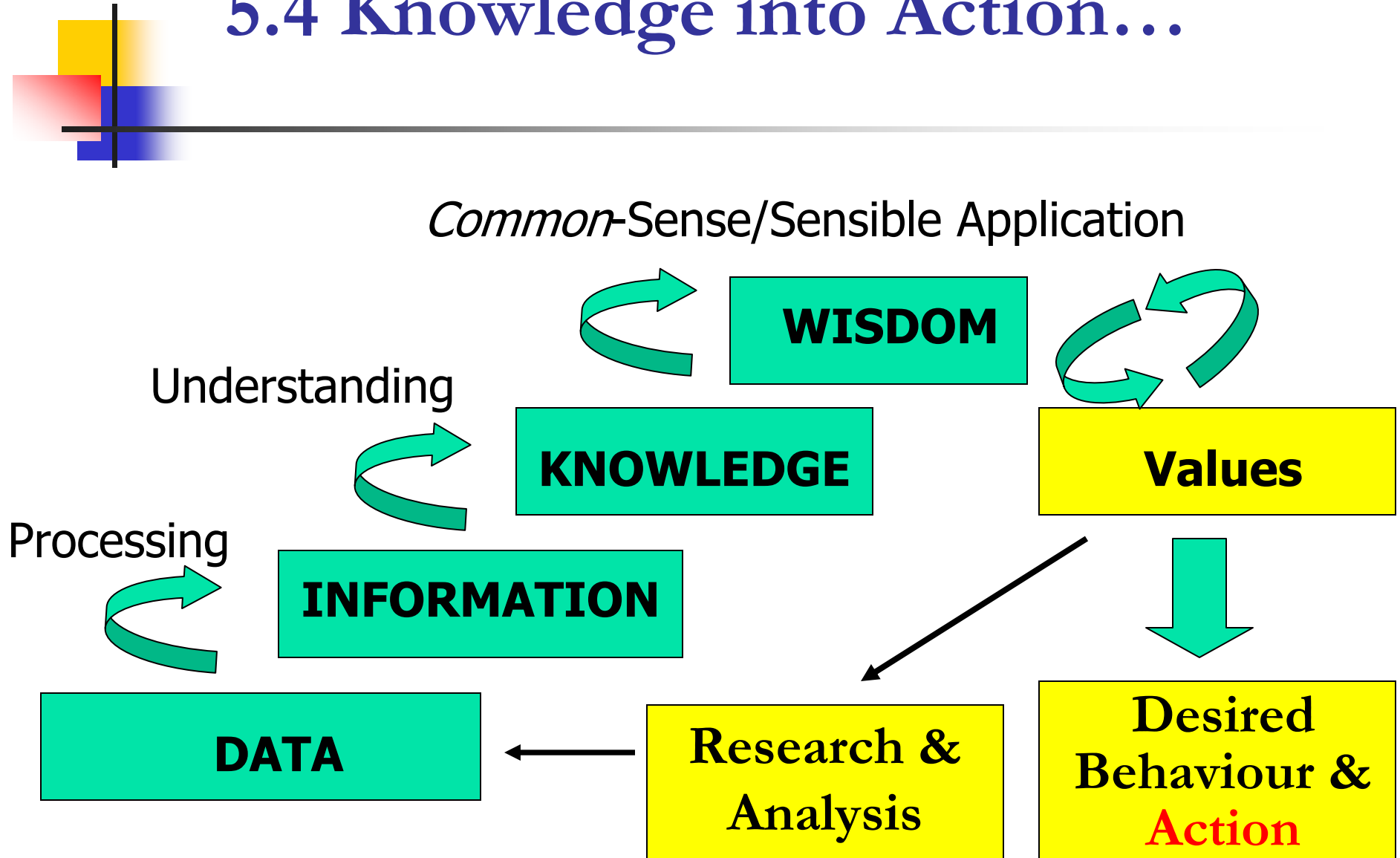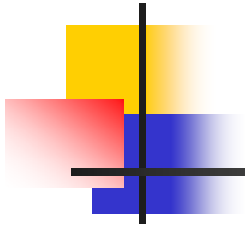| What targets need to know	To understand the change To survive in the delta state To operate in the desired state	What change agents need to know

What sponsors need to know

iii) Reward Plan

- Identify which behavior should be **recognized** and **rewarded** in the **delta state** and by what means

- Develop and Implement a new **performance measurement strategy** for the **desired state**

5.4 Knowledge into Action…

Common-Sense/Sensible Application

WISDOM

Understanding

KNOWLEDGE

Values

Processing

INFORMATION

DATA

Research & Analysis

Desired Behaviour & Action

Thank You!

Cletus K. Bertin, Ph.D.
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