



Module 1: **Working with the Right Policy Problem: An Introduction of Policy Analysis**

July 24-26, 2024

Panorama Summit Hotel, Tigatto Road, Buhangin, Davao City



Capacity Building Toward Innovative and Inclusive Policymaking
for the Development in the Agriculture, Aquatic, and Natural Resources (AANR) Sector



Learning Objectives

- Define basic concepts of policy and the policy process
- Relate the importance of policy analysis in policy research and practice
- Understand the basic concepts behind problems and problem structuring as a process; and,
- Discuss the different phases and methods of problem structuring.

Outline

- Policy and the Policy Process
- Analyzing Policy
- Problem Structuring in Policy Analysis
- Some Methods & Tools in Problem Structuring

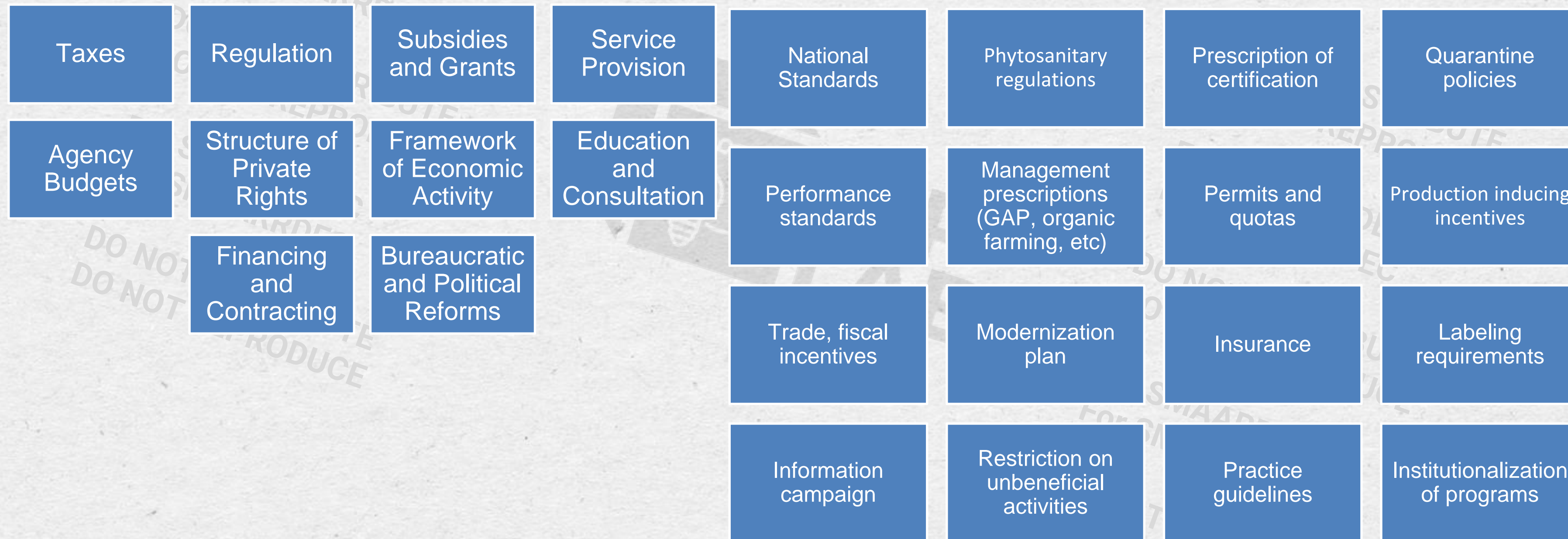
Policy and the Policy Process

What is Policy?

- “whatever governments choose to do or not to do” - Thomas Dye (1998)
- “Purposive course of action or inaction undertaken by an actor or a set of actors in dealing with a problem or matter of concern” -Anderson (1994)
- A course of action that will create a desired outcome in the interest of the masses or the people in a given country (jurisdiction)
- Examples?

Policy and the Policy Process

What is Policy?



Policy and the Policy Process

Examples of Policy: Tax

What Govt Might Do	Why Govt Might Do It
<ul style="list-style-type: none">• Add a new tax• Abolish an old tax• Change the tax rate• Change the tax base• Improve collection machinery• Tax an externality	<p>When there is inadequate government revenue for some purpose and the structure of market prices fails to capture the true economic opportunity costs</p>

Policy and the Policy Process

Examples of Policy: Tax



Policy and the Policy Process

Examples of Policy: Regulation

What Govt Might Do	Why Govt Might Do It
<ul style="list-style-type: none"> • Add a new regulatory regime or abolish an old one • Write new standards or remove old ones • Tighten or loosen existing standards • Ban or prohibit something entirely • Improve the scientific and technical basis for writing standards • Close or open loopholes • Strengthen capacity of enforcement personnel • Increase deterrence • Raise or lower the level of effective sanctions • Tighten or loosen appeals procedures • Change reporting and auditing procedures • Add, subtract, or improve complaint mechanisms 	<p>In some cases, existing forms of oversight may be rendered irrelevant or insufficient. Sometimes needed oversight is nonexistent.</p> <p>Scientific uncertainties, technical difficulties of measurement, and political pressures typically call for this.</p> <p>In supposedly oligopolistic industries, regulation concerns coordinating the outputs of firms, along with entry, exit and prices.</p>

REPUBLIC ACT NO. 10611 FOOD SAFETY ACT OF 2013

WHAT IS THE FOOD SAFETY ACT OF 2013?

The Food Safety Act of 2013 is Republic Act No. 10611, An Act to Strengthen the Food Safety Regulatory System in the Country to Protect Consumer Health and Facilitate Market Access of Local Foods and Food Products, and for Other Purposes.

WHAT IS THE OBJECTIVE OF RA 10611?

The objective of RA 10611 is to strengthen the food safety regulatory system in the country. Specifically, the State shall:

- (a) Protect the public from food-borne and water-borne illnesses and unsanitary, unwholesome, misbranded or adulterated foods;
- (b) Enhance industry and consumer confidence in the food regulatory system; and
- (c) Achieve economic growth and development by promoting fair trade practices and sound regulatory foundation for domestic and international trade.

CONTACT US



For inquiries, check FDA Memorandum No. 2013-014 and email info@fda.gov.ph

For complaints on products and services, email report@fda.gov.ph

DIRECT LINES

Center for Food Regulation and Research

Licensing	+63 2 857-1991
Registration	+63 2 857-1992

Consumer Complaint Desk	+63 2 857-1939
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FDA Trunkline	+63 2 857-1900
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www.fda.gov.ph



FDA
Food and Drug Administration
PHILIPPINES



REPUBLIC ACT NO. 10611 FOOD SAFETY ACT OF 2013

CONSUMER INFORMATION





FDA Advisory No. 317 Series of 2019

Public Health Warning Against the Purchase and Consumption of the following Unregistered Food Products and Food Supplements:



Policy and the Policy Process

Examples of Policy: Budget

What Govt Might Do	Why Govt Might Do It
<ul style="list-style-type: none">• Add a lot to the budget• Add just a little to the budget• Hold the budget at last year's level• Cut the budget a little• Cut the budget a lot—to the point of beginning to terminate the agency• Shift allocations from one budget item to another	<p>Priority activities might call for it.</p> <p>To send political signals about the degree of satisfaction or dissatisfaction with the agency's performance</p>

62% of the total proposed budget is for the **DOH - Office of the Secretary (DOH-OSEC)**, followed by 35% for the PhilHealth

Particulars	GAA 2019	GAA 2020	NEP 2021*	
			Amount in Billion PhP	% to total NEP
A. Department of Health – Office of the Secretary	97.65	100.56	127.29	62%
B. Attached Agency				
National Nutrition Council	0.44	0.46	0.49	0.24%
C. Attached Corporations	70.86	75.44	75.96	43%
Lung Center of the Philippines	0.23	0.42	0.41	0.20%
National Kidney and Transplant Institute	0.88	0.91	1.27	0.62%
Philippine Children's Medical Center	1.08	1.20	1.04	0.51%
Philippine Heart Center	1.18	1.43	1.77	0.87%
Phil. Inst for Traditional & Alternative Health Care	0.14	0.14	0.13	0.06%
Phil. Health Insurance Corp. (PhilHealth)	67.35	71.35	71.35	35%
TOTAL	169.45	176.46	203.74	100%



Republic of the Philippines
DEPARTMENT OF HEALTH

*Numbers may not add up due to rounding off
*Exclusive of RLIP and SAGF



DO NOT DISTRIBUTE
DO NOT REPRODUCE

Policy and the Policy Process

Examples of Policy: Information



What Govt Might Do	Why Govt Might Do It
<ul style="list-style-type: none"> • Require disclosure • Direct government rating or certification • Standardize display or format • Simplify information • Subsidize production of information • Subsidize dissemination of information 	<p>To improve information production, dissemination, and validation and reduce time spent reading or hearing or interpreting or sifting or verifying (which bears costs).</p>



Policy and the Policy Process

Examples of Policy: Framework of activity

What Govt Might Do	Why Govt Might Do It
<ul style="list-style-type: none"> • Encourage competition • Encourage concentration • Control/Decontrol prices and wages (and profits) • Control/Decontrol output levels • Change tax incentives up or down • Provide/abolish public jobs 	<p>To address monopoly or oligopoly problems on the supply side</p> <p>On the demand side, to address consumer vulnerability to exploitation</p> <p>To protect workers</p> <p>To promote efficiency in government intervention.</p>

My competitors and I
OWN COMPUTER SHOPS.

In bidding for contracts to supply companies
and government agencies with computers,
**WE SHARE INFORMATION ON OUR
BIDS.** We sometimes agree to **TAKE TURNS
IN SECURING CONTRACTS.**

CAN WE DO THIS?



NO. The Philippine Competition Act
(R.A. 10667) **PROHIBITS FIXING
THE PRICE AT AN AUCTION
OR MANIPULATING BIDS,**
including rotating bids, which is what you
and your competitors appear to be doing.

Disclaimer: The example depicted is a mere generalization to help explain the law. Any similarity to
real-life businesses or entities is merely coincidental. This should not be taken as legal advice.

Policy and the Policy Process

Examples of Policy: Education & Consultation



What Govt Might Do	Why Govt Might Do It
<ul style="list-style-type: none"> • Warn of hazards or dangers • Raise consciousness through exhortation or inspiration • Provide technical assistance • Upgrade skills and competencies • Change values • Professionalize the providers of a service through training or certification or licensing 	<p>To increase people's awareness of a problem or an opportunity.</p> <p>To develop and strengthen capacities</p>

Policy and the Policy Process

Examples of Policy: Financing & Contracting

What Govt Might Do	Why Govt Might Do It
<ul style="list-style-type: none"> • Create a new (governmental) market • Abolish an existing (governmental) market • Alter reimbursement rates and basis for reimbursement • Lease governmentally held resources • Alter user fee structure • Redesign bidding systems • Change contract enforcement methods • Furnish, guarantee or subsidize loans • Set up/dismantle/privatize a public enterprise • Modify insurance arrangements • Change procurement practices 	<p>To help address inefficiencies in capital and/or insurance markets</p> <p>To improve governmental contracting and procurement machinery (<i>it may be too rigid, or too corrupt, or too expensive, or too slow</i>).</p> 

Policy and the Policy Process

Examples of Policy: Bureaucratic Reform

What Govt Might Do	Why Govt Might Do It
<ul style="list-style-type: none"> • Reorganization • Replacing top supervisory personnel • Improving information systems • Raising wages and salaries. 	<p>In many policy contexts there are important political and symbolic considerations for undertaking bureaucratic and political reforms.</p> <p>Political considerations: enhancing the power of one social interest or point of view at the expense of another.</p> <p>Symbolic considerations: ducking the really hard or impossible problems at the social level in favor of doing something readily seen in a domain over which government appears to have control (that is, its own operations)</p>

“Let us be clear. Rightsizing is the correct prescription for the main problem of the Philippine bureaucracy: being overstaffed but undermanned. There are just too many people who are on the government payroll without any real and commensurate contribution to the total government effort, while there are too few of those with the right skills and motivation to keep pedaling the bureaucracy forward.”

Segundo Eclar Romero
On The Move

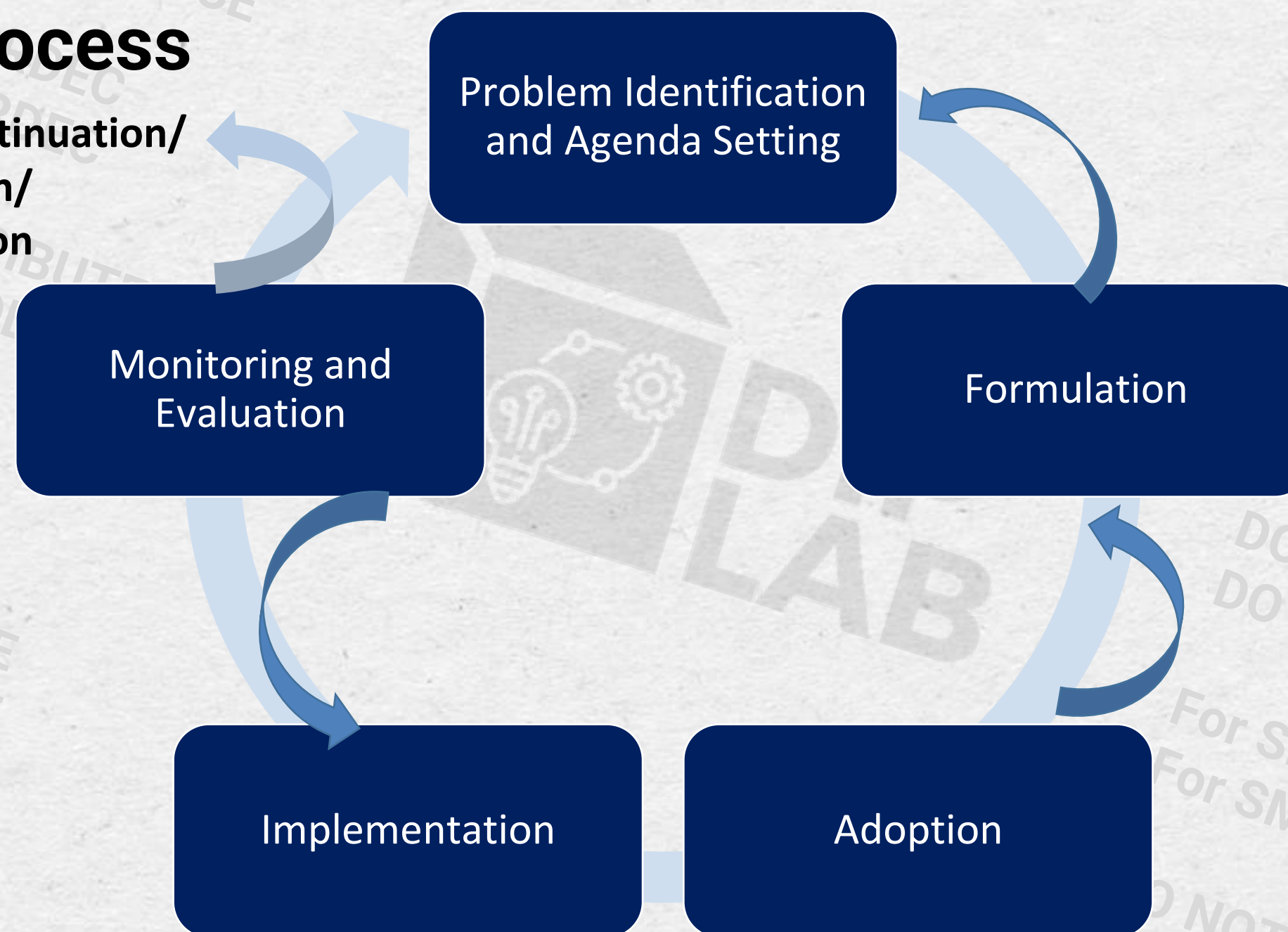
READ THE FULL ARTICLE HERE:
PHILIPPINE DAILY
INQUIRER
INQUIRERPLUS



Policy and the Policy Process

The Policy Process

Policy Continuation/
Adaptation/
Termination



Analyzing Policy

What is Policy Analysis?

- process of creating knowledge of and in the policy-making process
- In creating knowledge of policy-making processes, policy analysts investigate the causes, consequences, and performance of public policies and programs

Analyzing Policy

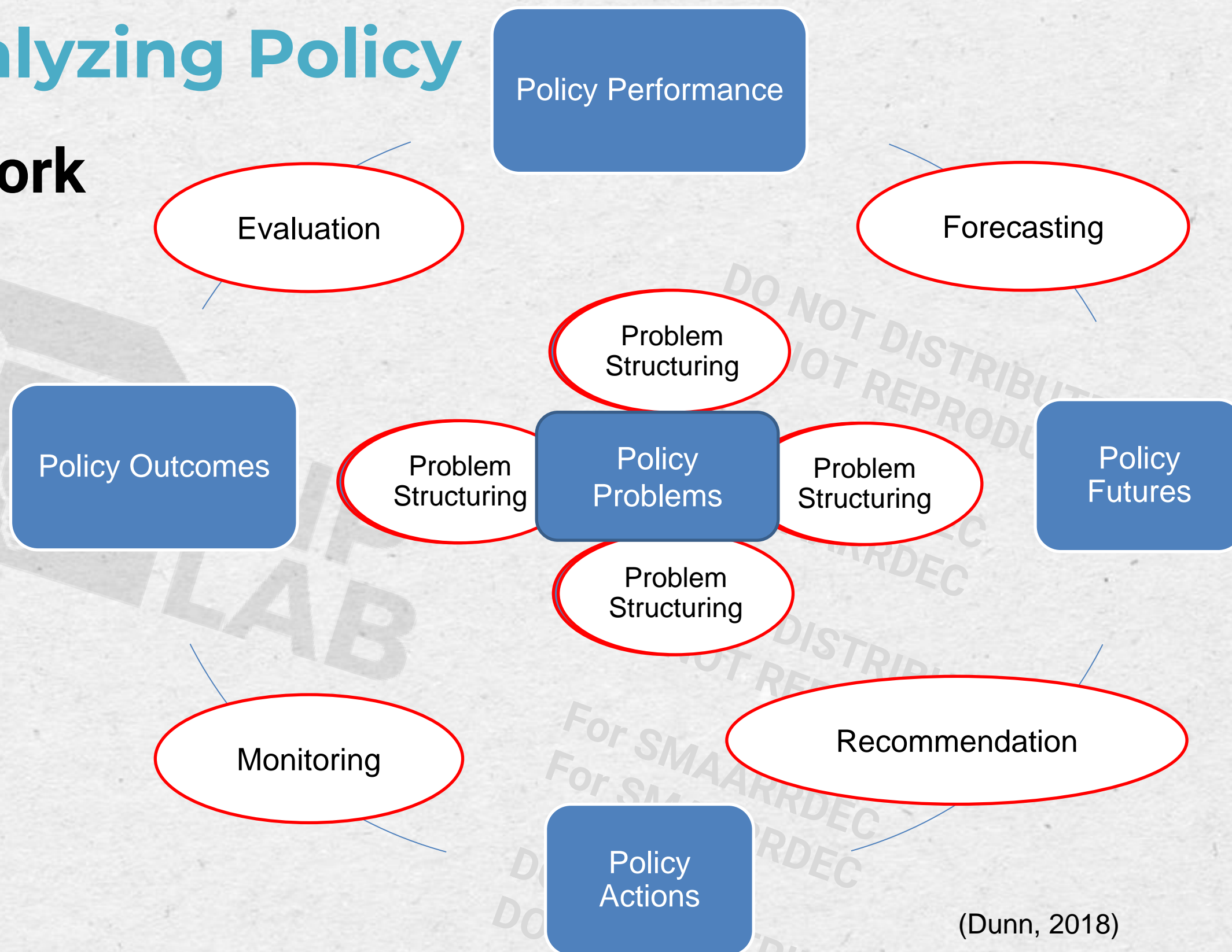
Questions in Policy Analysis

- What is the nature of the **problem**?
- What **present and past policies** have been established to address the **problem**, and what are their **outcomes**?
- How valuable are these **outcomes** in **solving the problem**?
- What **policy alternatives** are available to address the problem, and what are their likely **future outcomes**?
- What **alternatives should be acted on** to solve the problems?

Analyzing Policy

The Policy Analytic Framework

*The complete framework for **problem-centered** policy analysis combines policy-relevant information transformed by **policy analytic procedures**.*



(Dunn, 2018)

Problem Structuring in Policy Analysis

What is a Policy Problem?

- unrealized needs, values, or opportunities for improvement
- not self-evident or neutral; the same facts are interpreted in varied ways
- interpretations of facts as problems are shaped by assumptions about human nature, the proper role of government, the nature of the economy, and the definition of knowledge itself
- formally defined as products of abstracting elements from problem situations or problematic environments through analysis
- Usually complex

Problem Structuring in Policy Analysis

What is Problem Structuring?

- a phase of policy analysis in which competing formulations of a problem are compared, contrasted, and evaluated
- a continuously recurring phase of policy inquiry in which analysts search among competing problem formulations of different stakeholders
- involves making judgment about the scope, severity, causes, effects of a problem situation (e.g., pollution)
- arguably the most important activity performed by policy analysts

Problem Structuring in Policy Analysis

Problem Structuring in Error Correction

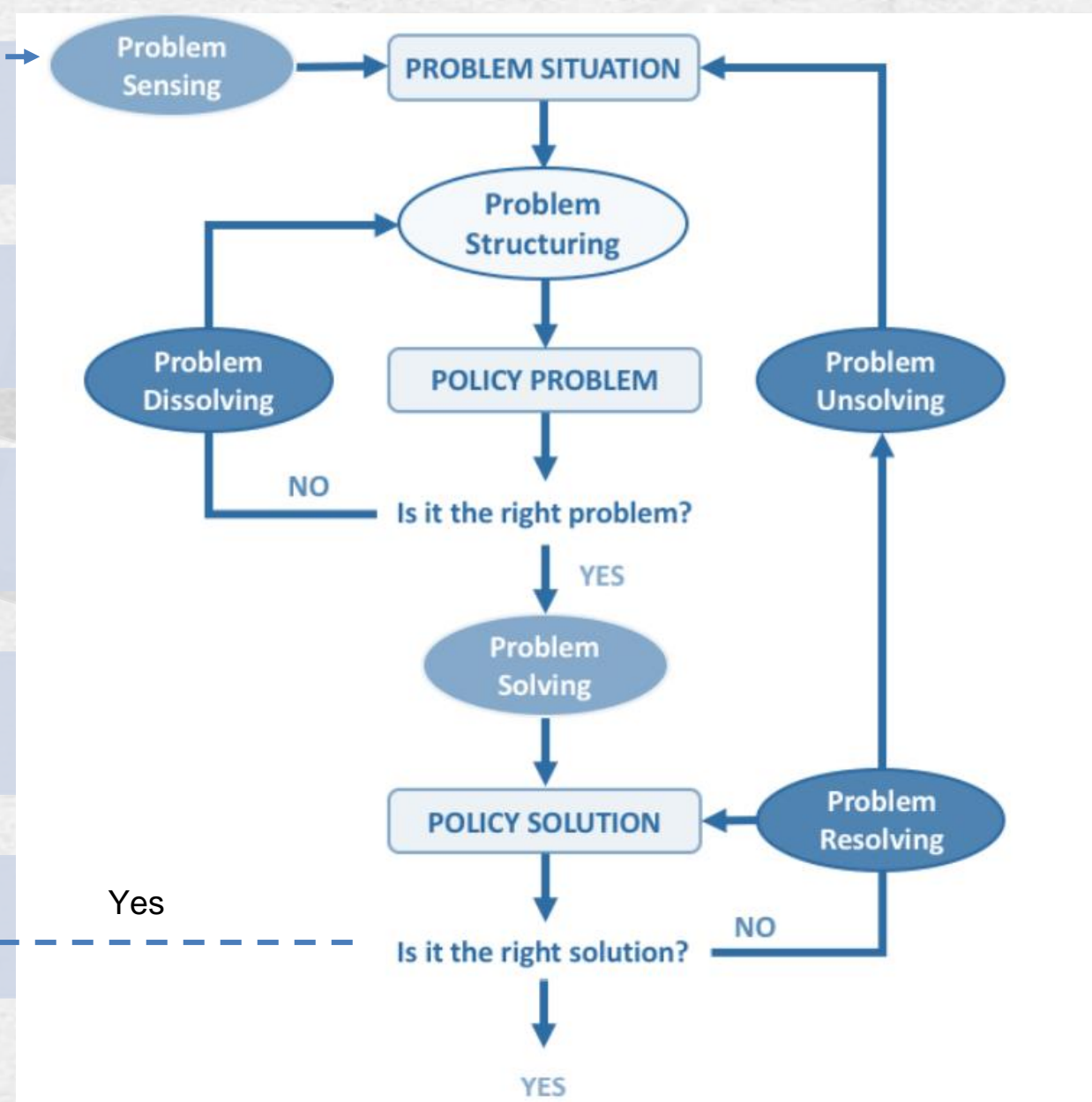
Problem Structuring

Forecasting

Recommendation

Monitoring

Evaluation



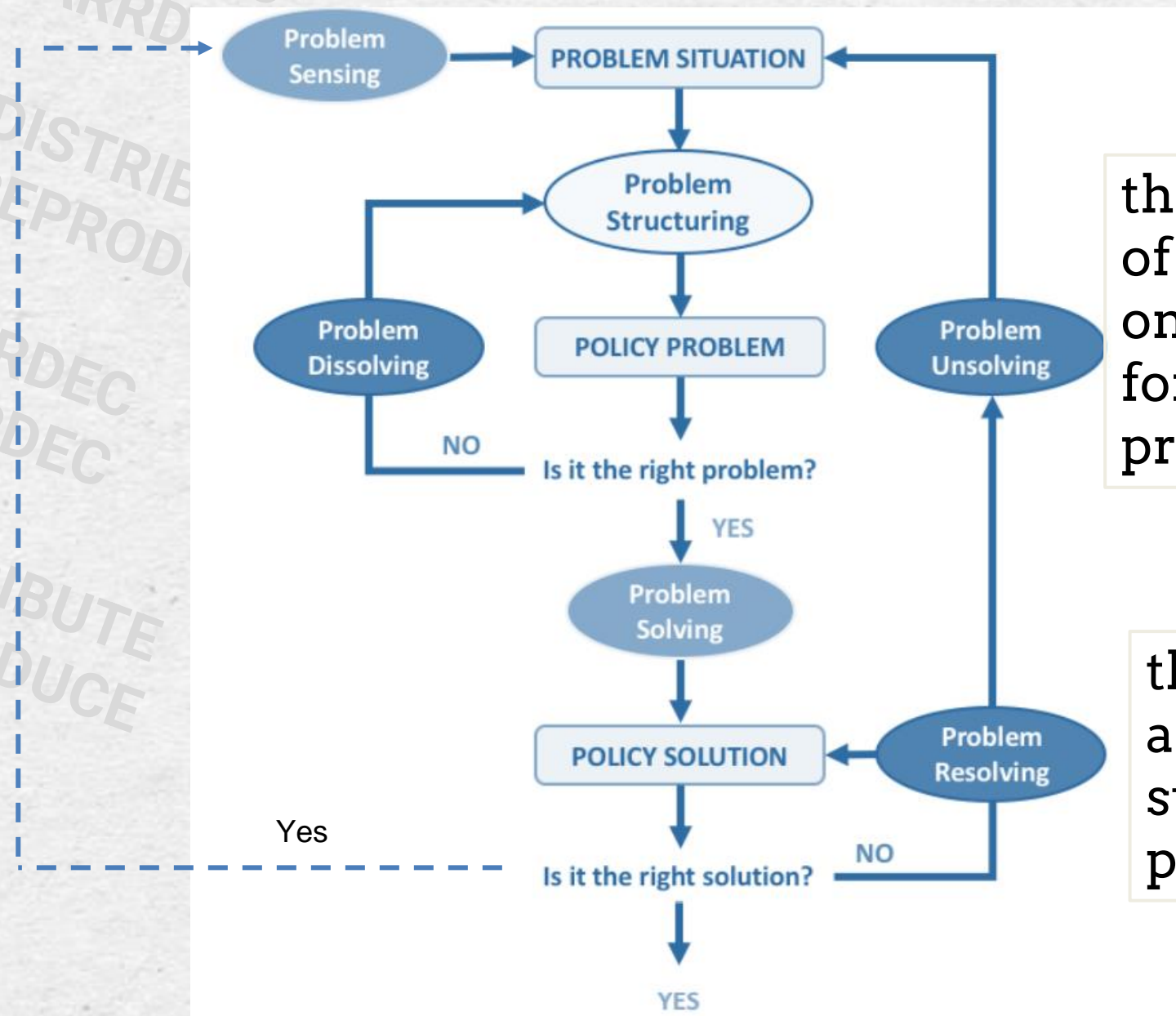
3 Types of Error Correction

(Dunn, 2018)

Problem Structuring in Policy Analysis

Problem Structuring in Error Correction

the abandonment of an incorrectly formulated problem



the abandonment of a solution based on the wrong formulation of a problem

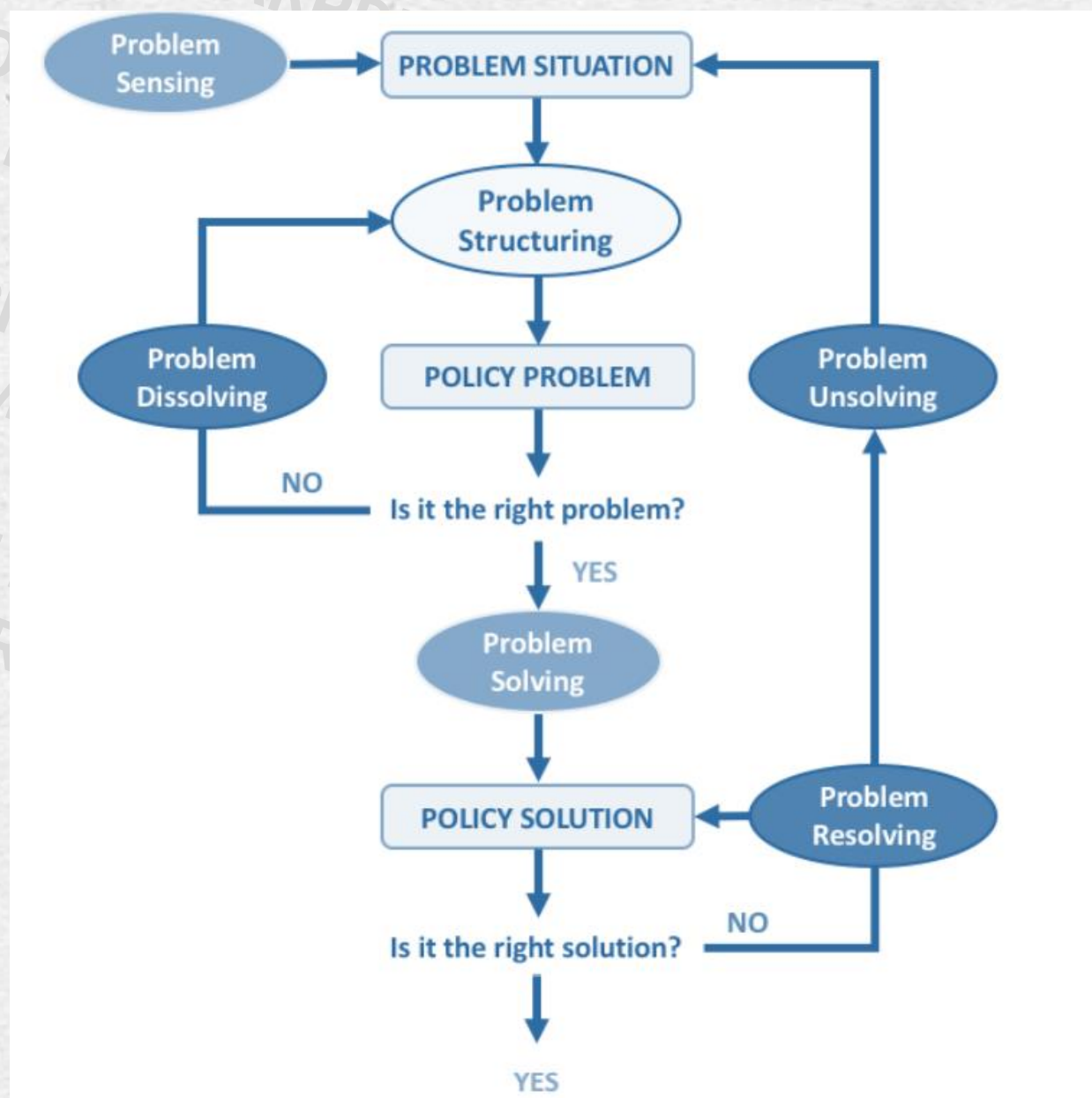
3 Types of Error Correction

the reanalysis of a correctly structured problem

(Dunn, 2018)

Problem Structuring in Policy Analysis

Problem Structuring in Error Correction

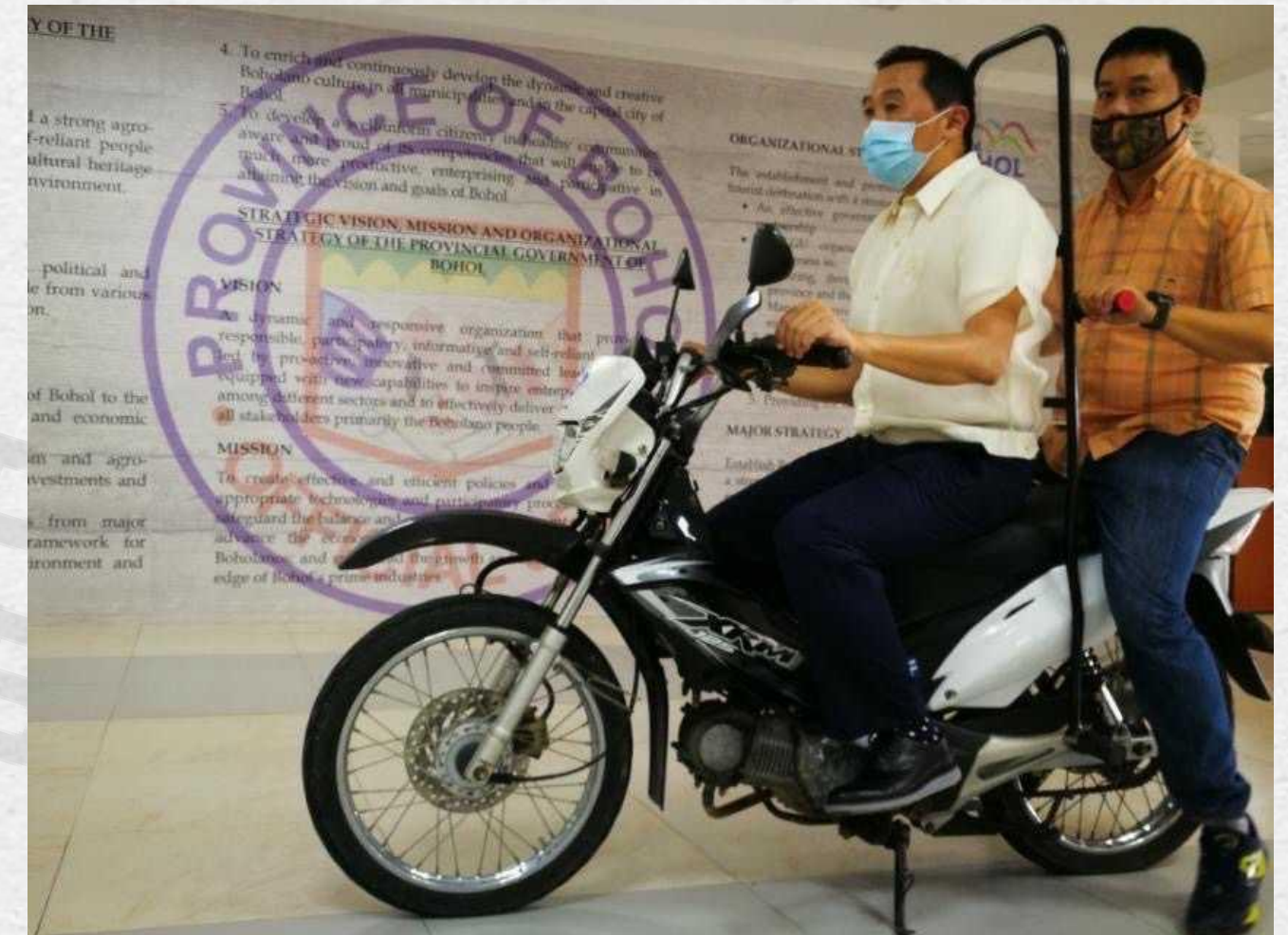
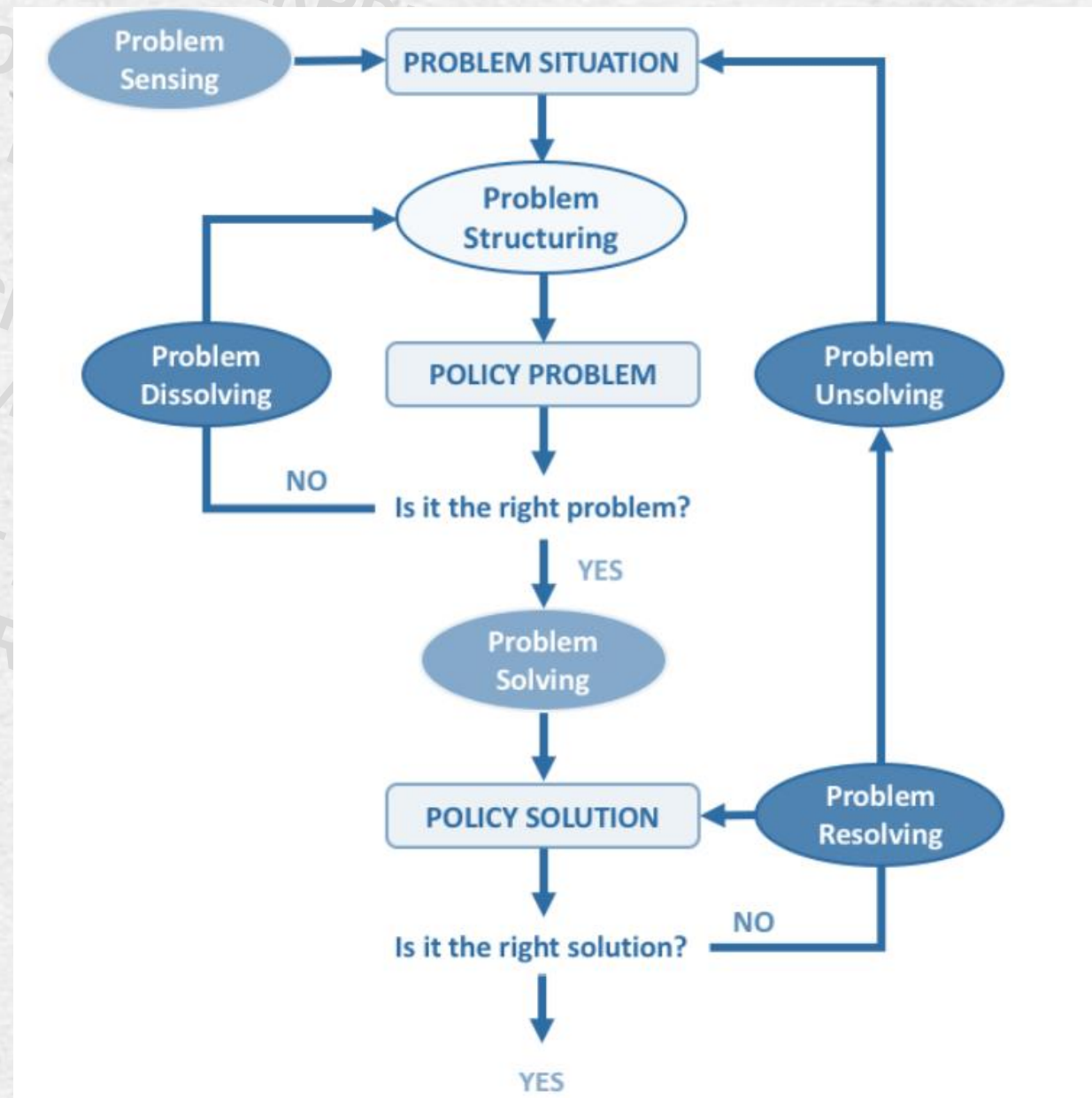


Landcare Program in Claveria, Misamis Oriental, Philippines



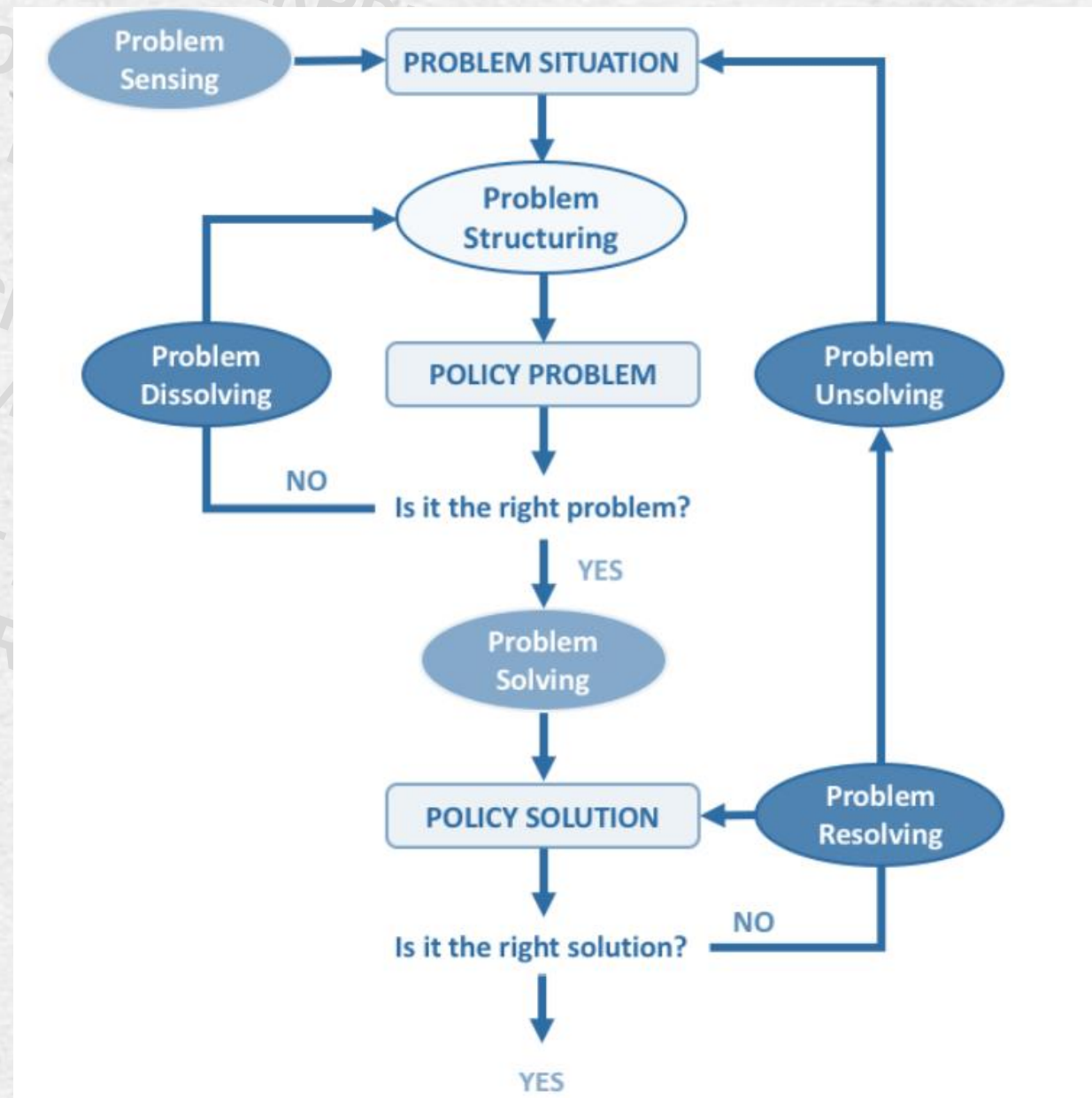
Problem Structuring in Policy Analysis

Problem Structuring in Error Correction



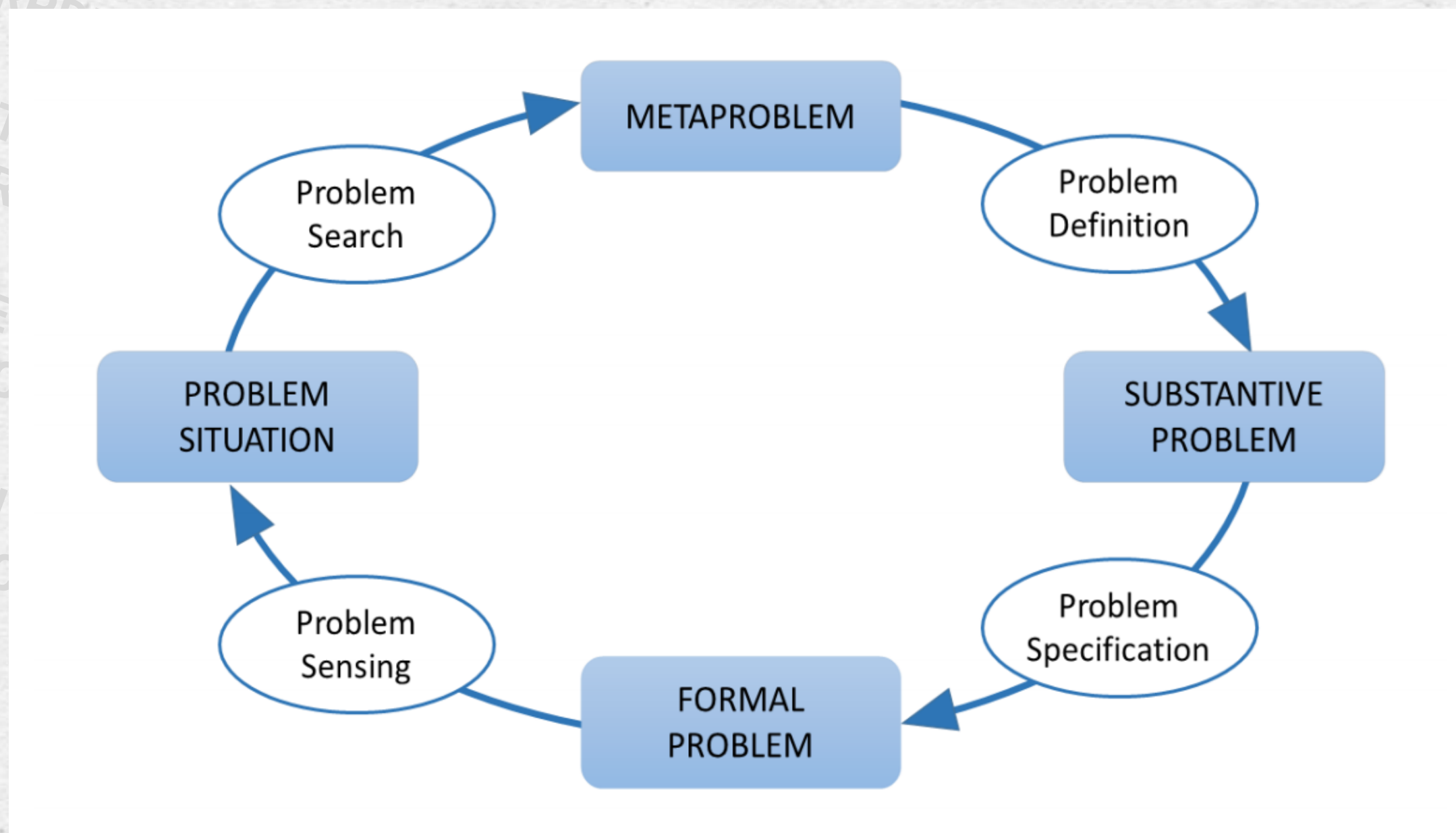
Problem Structuring in Policy Analysis

Problem Structuring in Error Correction



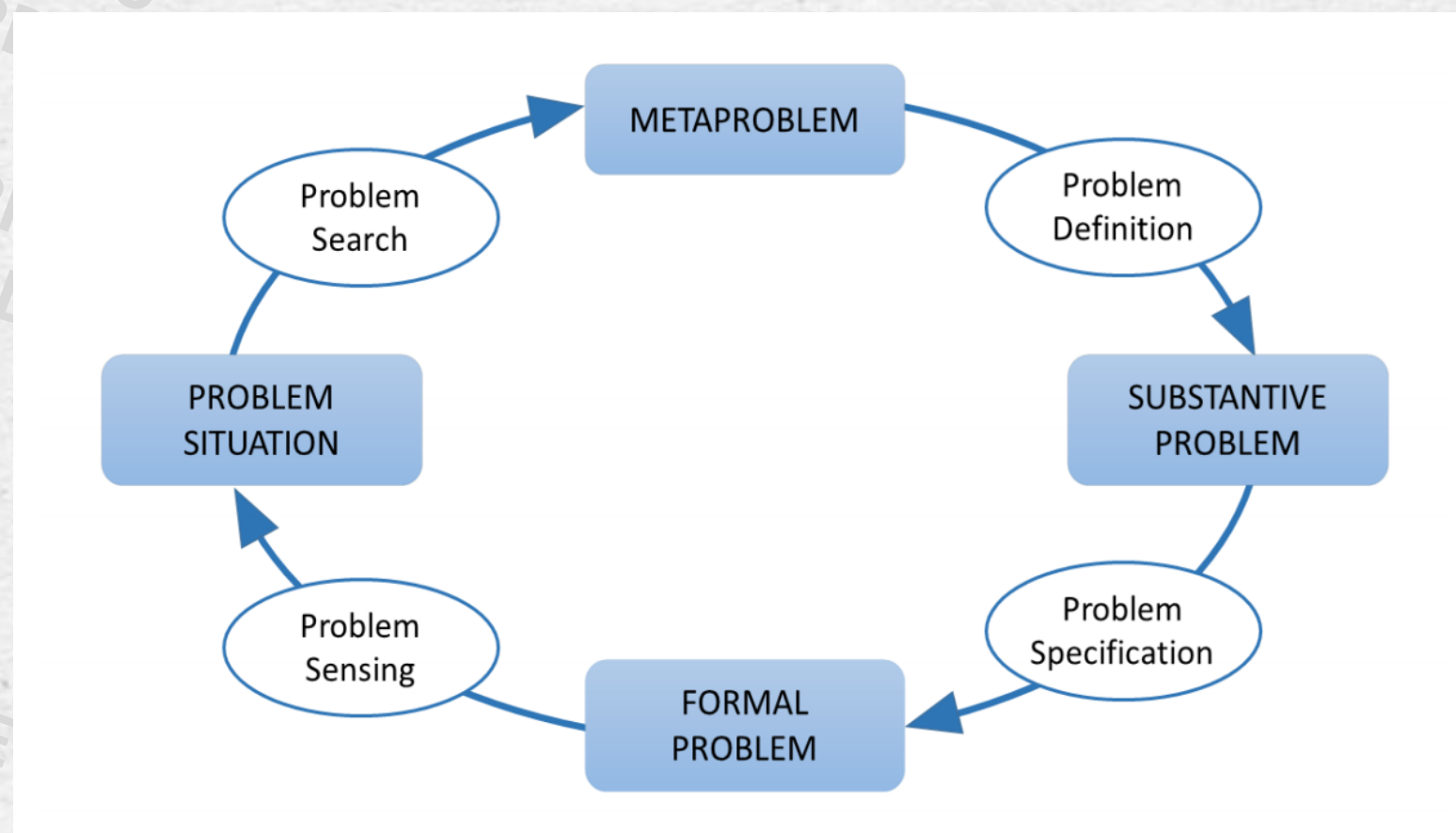
Problem Structuring in Policy Analysis

Phases of Problem Structuring



Problem Structuring in Policy Analysis

First Step: Problem Sensing



Problem Structuring in Policy Analysis

First Step: Problem Sensing

- **Problem Sensing:** a process that translates diffuse feelings of ‘discomfort’ into a state of “unsettled belief”
- **Problem Situation:** diffuse sets of worries, inchoate signs of stress, or surprises for which there is no apparent solution
- Examples of problem situations:
 - Availability of public mass transit
 - Arms control and national security
 - Terrorism and public safety
 - Quality of the public school system
 - State of the world’s ecological system

What things around you make you “uncomfortable”?

Problem Structuring in Policy Analysis

First Step: Problem Sensing

Focus on “onion” as a commodity

What about “onion in the Philippines” make you “uncomfortable”?

*Sample
Discussion
Question*

Problem Structuring in Policy Analysis

2nd Step: Problem Search

- Problem Search: discovery of many problem representations of multiple policy stakeholders leading to conception of a **Metaproblem**
- **Metaproblem:** an ill-structured problem; a class of first-order problems; problem of problems
- Examples of metaproblems:
 - high crime rates
 - drug use
 - poor educational outcomes

Others?

Problem Structuring in Policy Analysis

2nd Step: Problem Search

Focus on “local onion supply”

What are problems linked to “local onion supply in the Philippines”?

*Sample
Discussion
Question*

Problem Structuring in Policy Analysis

3rd Step: Problem Definition

- Problem Definition: defining the problem in its most basic and general terms yields the **Substantive problem**
- Possible substantive problems:
 - “the problem is economic.”
 - “the problem is political.”
 - “the problem is sociological.”

Problem Structuring in Policy Analysis

3rd Step: Problem Definition

Focus on “local onion supply”

*Sample
Discussion
Question*

What are common patterns/themes in the problems linked to “local onion supply in the Philippines”? (searching for disciplinary perspectives)

Problem Structuring in Policy Analysis

4th Step: Problem Specification

- Development of a formal model of the substantive problem--the **formal problem**
- **Example?**

Focus on a particular nature of the problem in “local onion supply”

*Sample
Discussion
Question*

What is currently known/hypothesized as a driver or drivers of the problem of low local supply?

Problem Structuring in Policy Analysis

Example from Metaproblem to a Formal Problem 1:

Metaproblem: National Food Insecurity

Defining the Substantive Problem:

Food insecurity is a domestic supply problem,
i.e., to low production

or

Food insecurity is a supply-chain problem,
given archipelagic geography

or

Food insecurity is a trade problem

Specify a Formal Problem:

Low food supply is due low adoption of efficiency
enhancing technology

or

Low food supply is due to high cost of
transport, high transactions cost

or

High cost of importation impedes food security

Problem Structuring in Policy Analysis

What is the capital sin in policy analysis?



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Solving the wrong problem

Some Methods in Problem Structuring

Boundary Analysis

Saturation
Sampling

Elicitation of
problem
representations

Boundary
estimation

Some Methods in Problem Structuring

Boundary Analysis

Saturation
Sampling

Elicitation of
problem
representations

Boundary
estimation

Some Methods in Problem Structuring

Boundary Analysis

Saturation
Sampling

Elicitation of
problem
representations

Boundary
estimation

Some Methods & Tools in Problem Structuring

Hierarchy Analysis

- Possible Causes of a Policy Problem
 - events or actions that, however remote, may contribute to the occurrence of a given problem situation
- Plausible Causes of a Policy Problem
 - those that, on the basis of research or direct experience, are believed to be an important influence on the occurrence of a situation judged to be problematic
- Actionable Causes of a Policy Problem
 - one that is subject to manipulation by policymakers

Some Methods & Tools in Problem Structuring

Hierarchy Analysis

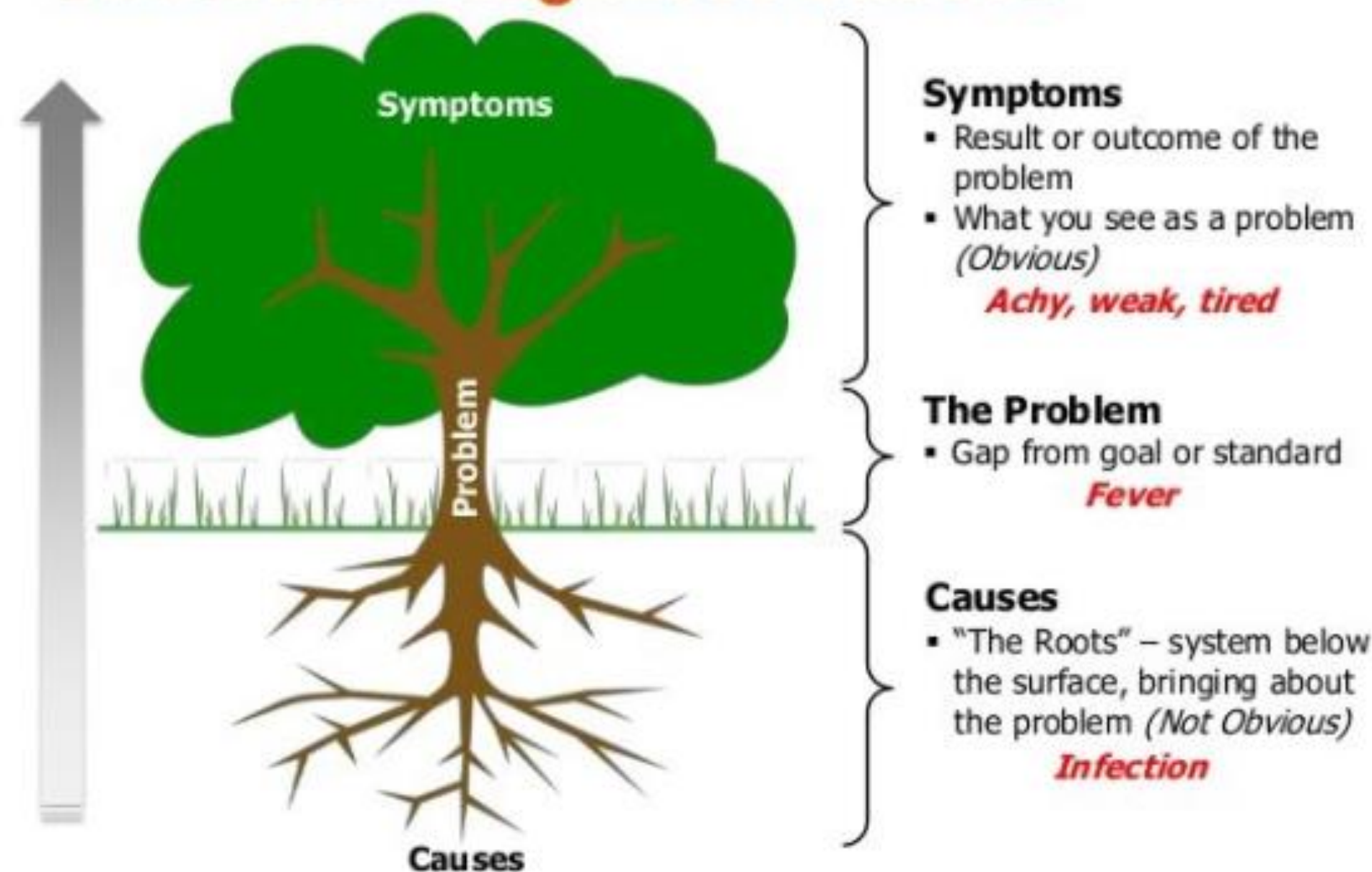
*Sample
Discussion
Question*

What are possible causes of poverty?
Plausible causes?
Actionable causes?

Some Methods & Tools in Problem Structuring

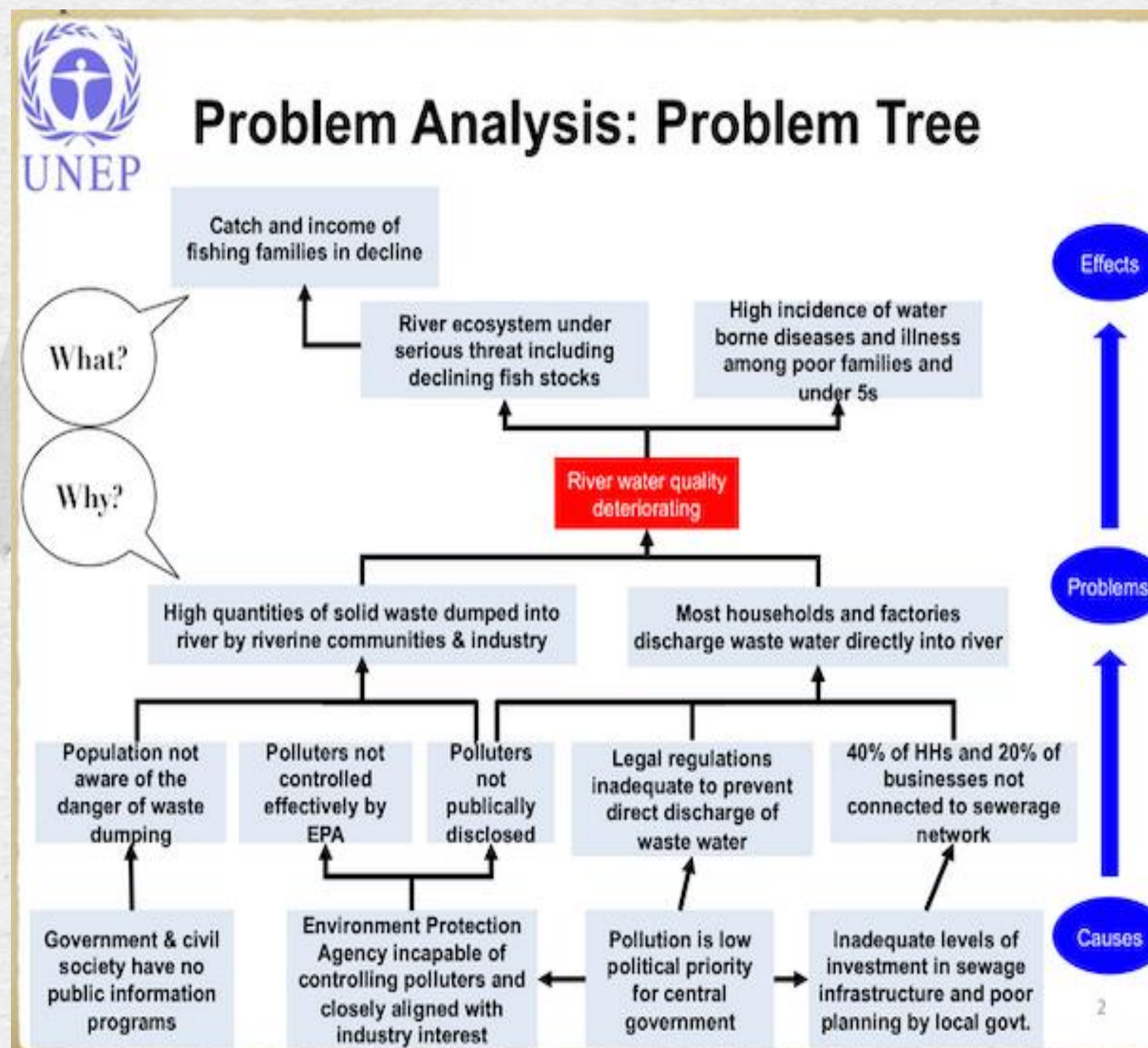
Problem Tree Analysis

Understanding Root Causes



Some Methods & Tools in Problem Structuring

Problem Tree Analysis



Some Methods & Tools in Problem Structuring

Brainstorming

- Groups should be composed of knowledgeable subjects.
- Idea generation and idea evaluation should be kept separate.
- Atmosphere should be open and permissive.
- Idea-evaluating should only begin after idea-generating has ceased.
- At the end of idea-evaluating, ideas should be prioritized and incorporated into a proposal that contains a conceptualization of the problem and its potential solutions

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